

**MANAGEMENT OF PERFORMANCE APPRAISAL AT
INSTITUTIONS OF HIGHER LEARNING: A CASE OF THE
UNIVERSITY OF SOUTH AFRICA**

by

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DECLARATION

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I, Maskhosana La-Portia Matjila, hereby declare that

**MANAGEMENT OF PERFORMANCE APPRAISAL AT INSTITUTIONS OF
HIGHER LEARNING: A CASE OF THE UNIVERSITY OF SOUTH AFRICA**

is my own work and that all sources I used or quoted have been indicated and acknowledged
by means of complete references.



.....
SIGNATURE

19/02/2021

.....
DATE

DEDICATION

*I am eternally grateful to the spirit of Black excellence:
my late Grandmother, my late Mother and my late Daughter ...
May their souls rest in peace!*

ACKNOWLEDGEMENTS

- I am humbled and grateful to Prof SB Kahn for his commitment and dedication in ensuring that this research is done, and for walking with me all the way to the finish line. Thank you, Prof Kahn, for your timeous feedback, input and valuable assistance. You, Prof, are a remarkable supervisor, who stood by me even during my ill-health. Working with you was such a blessing and humbling experience; you persevered and helped me all the way; our walk was graced by “*Tough Love*” and understanding. Your assistance brought me this far! Thank you, Prof Kahn.
- To my editor Monica Botha, thank you for believing in me, for supporting me all these years even when you had not laid your eyes on me, only hearing from me, for encouraging me and holding my hand every step of the way. Thank you and much appreciated.
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- A special appreciation to my sister, Matseke, niece Lethabo and son, KB, for their unwavering support and encouragement shown to me through my studies, not forgetting my four-legged friend ‘Bonzo’ for keeping me company all those long nights.
- To my medical team, and the staff at The Wilgers and Eugene Marais Hospitals, thank you for taking care of me and nursing me back to health.

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Thank you all, and God bless you!

ABSTRACT

The research examines the management of performance appraisal at institutions of higher learning: a case of the University of South Africa (Unisa). Focus is placed on the Unisa, specifically the two administrative departments, DSAR and PGAD in the centre of providing a service to the most important client, the student.

The Integrated Performance Management System (IPMS) Policy is a tailor-made system that provides a systematic process for managing the cycle of events associated with ensuring that individual employees achieve their agreed performance outcomes and the university reaches its strategic goals. To enhance and contribute to the effective management of performance, at Unisa, it is necessary to research the performance appraisal system, a process in place to measure the performance of employees, using a performance rating or score to indicate the level of performance. Performance measurement is utilised by organisations to identify the strengths and developmental areas of employee and relations between the employee and the manager a need to facilitate successful operations. Provide feedback to the employees and management respectively, show flaws identified, suggested improvements to the system. To ensure achievement of performance targets and meet the set objectives of the institution, to the benefit of all stakeholders, i.e. the employer, employee and student alike.

Key words: Performance management entails performance appraisal, performance measurements, management of staff activity, performance outcomes, adherence to performance standards, strategic goals, effectiveness and performance efficiency.

BOTSAMAISI JWA TSHEKATSHEKO YA TIRAGATSO KWA DITHEONG TSA THUTO E KGOLWANE: KGETSI YA YUNIBESITHI YA AFORIKABORWA

TSHOBOKANYO

Patlisiso e lekola botsamaisi jwa tshekatsheko ya tiragatso kwa ditheong tsa thuto e kgolwane: kgetsi ya Yunibesithi ya Aforikaborwa (Unisa). E totile mafapha a le mabedi a tsamaiso, DSAR le PGAD, a iphitlhelang a le mo bogareng jwa go tlamela tirelo go modirelwa yo o botlhokwa go gaisa, moithuti.

Pholisi ya IPMS ke thulaganyo e e diretsweng lebaka le le rileng e e tlamelang ka tirego e e rulaganeng ya go tsamaisa sediko sa ditiragalo tse di amanang le go netefatsa gore badiri ba ba farologaneng ba fitlhelela dipolelo tse go dumelanweng ka tsona tsa tiragatso ya bona, mme yunibesithi e fitlhelela maikaelelo a yona a togamaano. Ka jalo, go tokafatsa le go tshwaela mo bokgoning jwa Unisa, go ne go le botlhokwa go batlisisa thulaganyo ya yona ya tshekatsheko ya tiragatso, gonne go tlhokega thulaganyo e e fetotsweng ya tshekatsheko ya tiragatso go tswelletsa tiragatso e e nonofileng le botsamaisi jo bo bokgoni. Tekanyetso ya tiragatso e dirisiwa ke ditheo jaaka sediriswa se ka sona go ka sekasekwang dikarolo tsa maatla le tse di tlhokang kgodiso tsa badiri, mme go maatlafadiwe kamano magareng ga modiri le motsamaisi.

Dipholo tsa patlisiso eno di tlaa dirisediwa go tlamela badiri le botsamaisi ka pego le go bontsha moo go tlhokegang tokafatso ya thulaganyo e e dirisiwang mo tirong le mabaka a seo. Maikemisetso magolo a tshekatsheko ya tiragatso ke go netefatsa gore go fitlhelwa diphitlhelole tse di beilweng tsa tiragatso le maitlhomole a setheo, go ungwela baamegi, e leng, mothapi, modiri le baithuti ka go tshwana.

Mafoko a botlhokwa: tshekatsheko ya tiragatso, tirego e e rulaganeng, go tsamaisa ditiragalo, go fitlhelela dipolelo tsa tiragatso, diphitlhelole tse di beilweng tsa togamaano, bokgoni, tiragatso e e nonofileng, tekanyetso ya tiragatso

ACRONYMS AND ABBREVIATIONS

CGS	College of Graduate Studies
DHET	Department of Higher Education and Training
DISA	Department of Institutional Statistics and Analysis
DSAR	Department of Student Admissions and Registrations
HEMIS	Higher Education Management Information System
HR	Human Resource
HRM	Human Resource Management
IPMS	Integrated Performance Management System
MBO	Management by Objectives
NQF	National Qualifications Framework
ODeL	Open-distance electronic learning
PA	Performance Appraisal
PDP	Personal Development Plan
PGAD	Postgraduate Student Administration Department
PM	Performance Management
SWOT	Strengths, Weaknesses, Opportunities, Threats
Unisa	University of South Africa
USA	United States of America

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CHAPTER 1:

GENERAL INTRODUCTION

1.1 INTRODUCTION

Performance management is a human resource (HR) management tool to determine the performance of the institution and the individual. The researcher has identified the challenges that student administration departments, responsible for both undergraduate and postgraduate student administrations, within the university of South Africa (Unisa), are experiencing in applying the Integrated Performance Management System (IPMS) Policy to manage performance. The administrative departments referred to are Student Admissions and Registrations (DSAR) and Postgraduate Student Administration (PGAD).

The purpose of this research is to put forward an ideal situation as articulated by the 2013 IPMS Policy (Unisa Council, 2013), whose purpose is a strategic tool to ensure that Unisa achieves its strategic objectives, meets the stakeholders' expectations contained in the Department of Higher Education and Training's (DHET) mandate, and that of students, council, donors, community, as well as to instil a culture of accountability.

PA has, for many years, been regarded as a critical process aimed at improving employee performance and, ultimately, institutional effectiveness. Performance appraisal is a critical but complex component within performance management, and it holds many advantages, i.e. it fosters effective management development, is utilised as a tool to monitor performance, identifies strengths and implements developmental aspects for employees as the need arises, facilitating the relationship between the employee and the manager. Performance management (PM), on the other hand, is an ongoing process where the performance of individuals and teams is identified, measured and developed (Van Niekerk, 2017:1).

From a historical perspective, until the last decade, various authors, including Nelson and Quick (2011:152), as well as Van Niekerk (2017:6), defined PA as a process by which a manager or consultant examines and evaluates an employee's work behaviour by comparing it with pre-set standards documents. The results of the comparison are used to encourage good work, provide feedback to the employee to show where improvements are needed and why, and therefore it is important for managers to clearly define performance expectations in the work agreements, to

inform and equip employees to perform as expected. Most work performance is multidimensional; to evaluate job performance, managers should engage employees in the work environment, and spell out the skills and behaviours needed to succeed in the respective positions. The major purpose of performance appraisals is to give employees feedback on performance standards, to identify the employees' developmental needs, to enable promotion, reward good performance and to make demotion and termination and placement decisions (Nelson and Quick, 2002:173).

This chapter focuses on the background and motivation, problem statement, research objectives, research methodology, literature review, data collection method, data analysis, strategies employed to ensure data quality, delimitations to the research, ethical clearance and an outline of chapters.

1.2 BACKGROUND AND MOTIVATION FOR THE STUDY

Unisa was established in 1873, as the University of Good Hope. The institution grew to become a reputable, comprehensive, flexible and accessible open-distance learning institution that is equipping and motivating future generations, offering internationally accredited qualifications to more than 400 000 under- and postgraduate students from across South Africa, Africa and other parts of the world (Unisa, 2015:2).

The Constitution of the Republic of South Africa, 1996 (RSA, 1996) stipulates that there are two distinctive functions of the government, i.e. the political function, which has to do with policies or expressions of the state will, and the administrative function, which has to do with policies governing the human side of government. Considering Van der Westhuizen's (2016:50-55) argument, for decades administration has been and is still developing, bringing forth certain elements such as compensation of staff, appointment of competent staff, specialisation of work and efficient training methods to improve productivity. Public administration is concerned with hierarchical institutional structures, diverse task environments, jurisdiction of decision alternatives, relevant areas of study, authenticity of the administrator and advanced managerial techniques for achieving public objectives. Hierarchical structures of administrative management would enable public managers to act in the most efficient way possible, because administrative decisions are essential for employment development.

Unisa is expected, among other things, to render an effective and efficient service to its student population; this is embedded in Unisa's vision statement: "Towards the African University in the service of Humanity" (Unisa, 2015:2), as a leading open-distance, electronic learning (ODEL) institution aiming to foster a culture of performance excellence. Unisa is dedicated to offering reputable, comprehensive, flexible and accessible qualifications, hence the need to have a functional and sustainable administration and academic wing to support the student administration, promote institutional governance and advance business goals (Unisa, 2015:2).

It is for this purpose that the Integrated Performance Management System (IPMS) of Unisa was approved by Council in 2008 and has since been revised and updated every five (5) years (Unisa Council, 2008). The purpose of the IPMS Policy is to provide a systematic process for managing the cycle of events associated with ensuring that individual employees achieve their agreed performance outcomes. Having said the afore it is of importance that this research be conducted to bridge the gap that exists as a result of the institution's intention of introducing the IPMS, the implementation thereof as well as the employees about this tool. The IPMS process includes the clarification of performance expectations, agreement on resource requirements, focused training and development. There also exists the ability to identify performance problems, and appropriate recognition for performance excellence.

Unisa has implemented IPMS, which ensures individual compliance with the performance agreements entered into between the employee and the University and the strategic objective of the University, while the remuneration policy ensures that the performers within the institution are rewarded accordingly. A good performance management system should reward good performers in order to boost the employees' morale, and deal with underperformers to improve their output. In assessing performance, a distinction should be made between employees on probation and those who have completed their probation periods, because performance should be managed and upheld at all times in institutions. It is a given that with expected performance, there will also be underperformance identified. All institutions have set performance standards to be adhered to by those who are in its employment and service. These performance standards assist the institution to attain its set goals, an exercise that gives rise to outstanding performers and underperformers at the same time in an organisation (Vrat and Agarwal, 2013:889).

Schermerhorn, Hunt, Osborn and Uhl-Bien (2011:136) state that PA is the formal procedure for measuring and documenting a person's work performance. Just as employees are important role players, managers are expected to find ways to address underperformers and motivate those ineffective individuals to begin performing on standard with an aim to ultimately perform above the threshold and demonstrate appropriate levels of competency. Schermerhorn et al. (2011:137) further explain that PA provides employees with the right tools to assist them to meet targets, be trained, as well as support and equip them. In public non-profit institutions, such as universities, unclear objectives have a negative impact on performance.

Van der Westhuizen (2016:142) describes PA as part or aspects of performance management (PM) through which the performance of an employee is appraised and a performance rating or score that indicates the level of performance is decided upon and PM as an integrated process of identifying, appraising, managing and developing employees' work performance, and competence is developed. This means that during the review process, the following is evaluated: the employee's skills, achievements and growth or lack thereof, carried out as a phase of a performance cycle. HR practices contribute to institutional performance, while HRM affects the employee's performance. PA is one of the components of HRM, creating an explicit link between individual performance and the institution's strategic goals.

PM is the overarching system in the assessment of performance, but in this instance, the emphasis will be on PA, a cycle consisting of multiple phases. PA is an important administrative instrument that helps public managers to make significant operational and human resource management decisions (Van der Westhuizen, 2016:143). There should be consistency with the job compatibility framework, which purports that the discomfort or discrepancies in the ratings are brought about by an employee's preferences in conflict with job requirements. Underperformance or non-performance is a barrier to achieving institutional goals and objectives, therefore an employer should stipulate the required standards of work, as well as the steps to implement and rectify non-performance (Nel et al., 2005:294).

Tafila, 2014:114, puts forth PM as support to the business goals. It is important that institutions pay attention to and manage performance, because failure to manage performance can lead to a collapse of the system as a whole, which motivated this research to interrogate and ensure that the implementation of the IPMS Policy in the Postgraduate Administration Department is implemented effectively to ensure service delivery to the internal and external customers, as

this will address the lack of service delivery which the institution has come to experience, therefore the management of performance through the IPMS Policy will resolve non-service delivery, promote and ensure institutional performance.

With the above being said, PA is an exercise to evaluate the performance of individual employees against the expected performance targets and standards. In implementing the PA system, employees need continual feedback about their performance and goal achievement, as well as the necessary support to improve their performances in the event that deficiencies are identified. This is because underperformance affects service delivery, which is an integral part of the existence of the identified institution (Nel, Swanepoel, Kirsten, Erusman and Tsabadi, 2005:489).

1.3 PROBLEM STATEMENT

The researcher has identified that IPMS is implemented and not managed as a continuous and integral process to ensure institutional goal setting and optimum realisation of objectives to yield the expected results in the administrative departments, i.e. in the Postgraduate Administration Department (PGAD) and the Department of Student Administration and Registration (DSAR), which are administrative departments that use IPMS as an incentive tool and not as a performance-enhancing tool. The period covered by the research, 2015-2019, revealed the mismanagement of the IPMS tool, Both PGAD and DSAR staff, have yearly received performance bonuses amidst poor performance of certain staff and students survey reports on dissatisfaction on administration service delivery. This revelation forms part of the research problem.

It is the intention of this research to put forward the ideal situation as articulated by the 2013 IPMS Policy (Unisa Council, 2013), the purpose of which is to be a strategic tool to ensure that Unisa achieves its strategic objectives, meets the stakeholders' expectations, DHET's mandate, and the expectations of students, council, donors, community, as well as to instil a culture of accountability. This research will further outline how the IPMS Policy is implemented and managed at the University, as well as exploring how management of PA affects the effectiveness of the institution in achieving its strategic goals.

The following questions arise from the problem statement:

- How can the implementation of IPMS Policy be improved at administrative departments (DSAR and PGAD)?
- What are the views put forward by the literature regarding the management of performance?
- Does PM enhance employees' performance?
- Does performance management increase institutional effectiveness?

1.4 RESEARCH OBJECTIVES

The following objectives will be pursued:

- To ensure consistency in the implementation of the IPMS Policy by the administrative departments (DSAR and PGAD);
- To examine the literature regarding the management of performance;
- To explore whether performance management enhances employees' performance; and
- To investigate whether performance management increases of the administrative departments (DSAR and PGAD) effectiveness.

1.5 DELIMITATIONS OF THE RESEARCH

The research aims to analyse how IPMS is implemented and not managed properly to yield the expected results in the administrative departments, i.e. in PGAD and DSAR, which are administrative departments that use IPMS as an incentive tool and not as a performance-enhancing tool. The focus will be on undergraduate and postgraduate administrative departments' support staff. Employees currently working in these departments will be interviewed to obtain information regarding their views on performance management. This research will also look at the management level of these administrative units to examine whether good principles are embraced and that there is consistency and compliance with HR policies in managing these staff members.

1.6 ETHICAL CLEARANCE

The researcher will request to the Registrar as the administration portfolio director, to seek permission to conduct research within his portfolio and directorates. The researcher will use the managers and supervisors as "gatekeepers" to access the staff. Data collection will be done

through the distribution of questionnaires to staff and interviews with the managers and supervisors. The request will clearly state that the research is to benefit the University in better managing IPMS and its outputs, as well as to improve performance amongst the staff, bringing an understanding of systems in place and promoting good governance. Participants will be informed about the purpose of study and their voluntary participation in this research will be requested. It will be stressed that they are free to withdraw at any stage of the process.

Ethics encompass concepts and principles of the right conduct. Different principles of ethics in research include honestly reporting methods, procedures, objectivity, data analysis, data interpretation, peer review, integrity, acting with sincerity, carefulness, openness, respect for intellectual property, confidentiality, and responsible publishing in order to advance research and scholarship, among others. Every research should be designed, reviewed and undertaken to ensure integrity, quality and transparency. This research is broadly conceived as research that employs relatively unstructured forms of data produced through observation, interviewing, and analysis of documents and literature (Gillan and Pickerill, 2012:135-139).

1.7 OUTLINE OF CHAPTERS

The research is divided into six (6) chapters, as follows:

Chapter 1: **General Introduction.** In this chapter, the background and motivation for the study, problem statement, research objectives, data collection method, data analysis, literature review, delimitations to the research, ethical clearance and outline of chapters are given.

Chapter 2: **Literature Review:** This chapter of the research explores the theories and concepts of PM and PA.

Chapter 3: **Methodology.** Data will be collected through questionnaires and interviews, as well as analysis of scholarly literature.

Chapter 4: **Case Study: Unisa.** This chapter looks at performance at DSAR and PGAD at Unisa.

Chapter 5: **Analysis and Interpretation:** This chapter will provide the response of the data collected, the analysis and interpretation thereof.

Chapter 6: **Findings, Recommendations and Conclusions.** This chapter concludes the research and presents the research findings, recommendations and conclusions.

1.8 CONCLUSION

In this chapter, the researcher introduced and addressed performance management. The problem statement and research objectives were stated, as well as an outline the chapters of this research. Hereunder follows the discussion of the research.

CHAPTER 2: LITERATURE REVIEW:

2.1 INTRODUCTION

In this chapter, the researcher further aims to examine and explore the literature around the management of performance in organisations. The exploration of performance management will include the theories that concern performance and the organisational structures. These theories range from content and process theories; content theories to be explored in this chapter are Maslow's hierarchy of needs theory, Herzberg's two-factor theory, and McGregor's X and Y theory. Performance management also consists of process theories, which are the expectancy theory, the equity theory, and the reinforcement theory.

This chapter will explore literature around the enhancement of performance management for employees' performance; this will seek to examine whether the enhancement of performance management does increase institutional effectiveness, while it is a well-accepted premise that any business concern needs productive employees to produce output of acceptable quality to realise its economic, societal and employee-related goals.

2.2 PERFORMANCE MANAGEMENT THEORIES

There are motivation theories which have been advanced in order to understand and enhance job performance. There are content theories that seek to suggest and stress their premise on the fact that individuals are motivated in order to increase their job performance in organisations, by themselves striving to satisfy certain needs, by entering into a contract with the employer to exhibit certain behaviours and exert certain efforts to assist the enterprise in reaching its set goals. The performance management theories include Maslow's hierarchy of needs theory, which ponders the physiological, social, and security needs, up to the needs for self-actualisation.

Various categories of motivation theories have been advanced to understand and enhance job performance. These theories include the known Maslow's need hierarchy, Herzberg's two-factor theory, which is said to be a two factors-based theory of motivation, the two factors in this theory are hygiene, which includes the physical working environment, salaries, bonuses, organisation's policies, work procedures, among others. Motivation factors include

achievement and recognition, and others. Performance management theories also consist of process theories, which range from the reinforcement theory, among others, which simply means that people tend to repeat behaviour that leads to a pleasant result (Arnolds and Boshoff, 2015:53).

2.3 CONTENT THEORIES

The content theories in this study include Maslow's theory of needs, Hertzberg's two-factor theory, and McGregor's X and Y theory.

2.3.1 Maslow's need hierarchy

Psychologist Abraham Maslow identified seven sets/groups of basic needs which are common to all people. Maslow characterised these needs in the form of a hierarchy that is in the shape of a pyramid. It contends that human beings have five basic sets of needs, which are ranked and satisfied on a hierarchy, and ranging from lower-order to higher-order needs (bottom-up manner), which are firstly the physiological needs, followed by the safety and security, affiliation, esteem and self-actualisation needs respectively. According to Maslow's principle for the hierarchy of needs, people must first satisfy or meet the needs at the lower level of the hierarchical structure in order to be successfully motivated and obtain the desire to meet the needs of the higher level of the hierarchical structure.

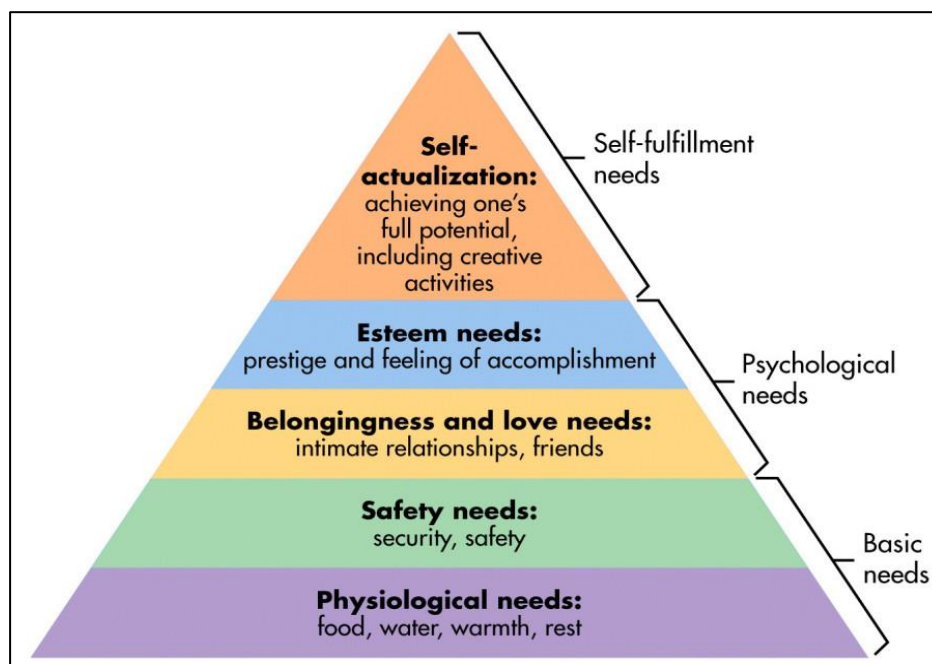


Figure 2.1: Maslow's hierarchy of needs

Source: Soper, Milford and Rosenthal (1995: 415)

- **Physiological needs:** Physiological needs are the foundation of the pyramid. One would wonder why psychological needs are not lodged at this level of the hierarchical structure. Soper, Milford and Rosenthal (1995:78) provide that Maslow suggested that the first and most basic need people have is the need for survival: their physiological requirements for food, water, and shelter. People must have food to eat, water to drink, and a place to call home before they can think about anything else. If any of these physiological necessities is missing, people are motivated above all else to meet the missing need. In order to understand this need broadly, one must have an instance in mind whereby a person has a hard time paying attention and concentrating at work when they have not eaten for a longest time of the day. Another example would be when someone has not been sleeping and staying in a home in a good condition; the life of that particular individual will somehow be affected, even the work-life (performance at work) of that particular individual will somehow be affected negatively. All the instances and examples represent the physiological need; this is of major importance.
- **Safety and security needs:** The attainment of the physiological needs leads to the desire to obtain safety and security needs, which are second from the bottom on Maslow's hierarchical structure of needs. "Safety is the feeling people get when they know no harm will befall them, physically, mentally, or emotionally; security is the feeling people get when their fears and anxieties are low" (Waitley, 1996:43). This level of needs is quite important in the work environment, because any element that seeks to intimidate this need will have a negative impact on the performance of the staff in the institution. For example, any anxieties, be they as a result of retrenchment, safety concerns at work, etc., might cause an anomaly in the performance of the staff, and hence might result in the struggle for managers and supervisors to deal with and manage that kind of underperformance. Again, the performance that can come as a result of the lack of this need being satisfied might lead to the second level of the effects of the underperformance, which include the impact on fellow employees, on teamwork, morale and others (Jordaan, 2011:28).
- **Social needs:** Following that the physiological needs and the safety and security needs to survive have been met, an individual can then be motivated to go and meet the needs represented at higher levels of the hierarchical structure, which is the third level. This level of the pyramid is needs (social needs) and is related to love and a sense of

belonging. These needs are met through pleasing and fitting relationships, such as a colleague-relationship, manager or employer-employee relationship, relationship with friends and peers, etc. Wahba and Bridgwell (1976:212): state that “satisfactory relationships imply acceptance by others”. This is one of the most crucial needs to be satisfied in the Maslow’s hierarchical structure, due to its importance and significance in ensuring that the link between the manager/employer-employee relationship remains intact. The intimidation of these needs might lead to a collapse of the relationship mentioned above. For example, a case of a staff member who constantly feels unwelcomed and not accepted among their team may lead to the demoralisation of that one staff member, which may lead to underperformance that may affect other staff members’ morale. This may easily cause a lasting damage to the institution’s image and reputation, which will definitely be beyond quantification.

- **Esteem needs:** It is important that an individual has satisfied and has met their need for love, affection and belonging, and that is when they can begin to develop positive feelings of self-worth and self-esteem, and act to foster and nurture pride in their work and in themselves as people. Before they can work toward self-esteem, however, people have to first feel safe and secure, for example in an institution they have to be first loved and welcomed in order to go for the need of esteem, which includes confidence and a sense of achievement.
- **Self-actualisation:** At the top of the hierarchical structure of the Maslow hierarchy of needs is the need for self-actualisation, which represents an individual’s desire to become everything they are capable of becoming, to realise and use their full potential, capacities, and talents. This need can be addressed only when the previous sets of needs have been satisfied. “Self-actualization as a need is rarely met completely”, as Nohria, Lawrence and Wilson (2001:74) maintain. In the context of the organisation, it will be quite important and significant for the leaders and managers to ensure that self-actualised needs, such as the need for the staff members’ creativity and problem-solving being addressed, are given attention and satisfied to capacity, as this ensures high levels of performance among staff and consequently results in a good image of the institution.

2.3.2 Herzberg's two-factor theory

In Nohria et al. (2001: 79), Herzberg's two-factor theory provides that there are some job factors that result in either satisfaction or dissatisfaction in the job; this theory is also recognising the fact that motivation is sourced from within the individual's self, as opposed to being sourced from any external factors and sources. Herzberg's theory provides and affords practical solutions to organisations' problems, such as the job dissatisfaction indicators, which range from wage disputes leading to strike actions, go-slows and so forth, which may very well affect the staff's performance in the wellbeing of the organisation.

The relevance of the Herzberg's two-factor theory in today's time remains questionable. This theory has been alleged to be controversial during the late 1950s due to its various aspects, inter alia the claims that it was the most replicated piece of work in the field of human resource development at that time (Kopelman, Prottas and Davis, 2008:255). One of the other reasons that caused the controversy around this theory ranged from the fact that the study was conducted among only white males around the area of Pittsburgh, USA, and the demographic element of the participants was not explicitly stated in the literature. This makes its validity quite narrow and somehow uncertain.

This period during which the study was conducted was seen as a period of heavy unionisation. This is in blatant dissimilarity with today's work milieu that is somehow customer-service oriented jobs, high unemployment rates, idle and closed plants, the diverse workforce, and the decline of unionisation (Kopelman et al., 2008:255). The change in dynamics of the workforce has to be put into perspectives, for instance the decline of unionisation might be sourced from the fact that a number of countries around the globe have their economies entrenched in the capitalistic economic principles that constantly prioritise profit over the needs of the employees, and that labour unions are gradually shrinking or somehow getting swallowed by the employers' payroll.

Another point of argument is that, one would go as far as to argue, today's work environment is somehow an assorted and multifarious environment, considering the fact that quite a number of staff in various industries are either working under agencies, and/or on fixed-term contracts. So it therefore becomes very difficult to utilise Hertzberg's two-factor theory in today's time and age, based on the arguments advanced above. The controversy arises around this theory

due to the fact that it is all due to narrowness and lacking width. One would consider issue of race, place, age and other demographics and conclude that this might be a problematic aspect of this theory. The demographics used when this theory was formulated in the late 1950s would somehow raise concerns, and might also raise questions around its validity and relevance in today's society and organisational life. However, researcher and scholar are bound to make their own adjustments around this theory, as it would not be prudent to take it as it is.

One the pieces of work that became critical of the Herzberg's two-factor theory is King (1970:39), where they reviewed the literature to date on the two-factor theory conducted. King (1970) continues, attributed and recognised controversy that appeared to be surrounding the theory, and in King's conclusion, Herzberg did not explicitly and clearly state himself, but instead he left it for other people and scholars to interpret. King (1970: 19) highlights five identifications of different versions of the two-factor theory that had been used in the literature since the original publication of Herzberg's findings in 1959. It said that none of the versions of this theory was supported by two or more different kinds of methods of testing, and also none of the versions had been validated.

One of the other criticisms of Herzberg's methodology is the tendency for people to give socially desirable answers in their responses, resulting in factors that affect dissatisfaction as being attributed to external factors instead of internal factors (Kopelman et al., 2008:258). Wall and Stephenson (2007:59) examined the existing literature using this criticism as a frame of reference. The finding was that Herzberg's data is a result of this tendency and is therefore untenable as a description of job attitudes.

There are some authors who have found the two-factor theory important and useful for the global human resource development in all economic spheres. Shipley and Kiely (1986:9) studied British sales representatives and the findings were that some of the motivating factors and dissatisfying factors, as identified by Herzberg, were also identified by those who participated in their study, but they could not find evidence of the dual continuum to be located nor could it clearly distinguish between the satisfying factors and dissatisfying factors.

The studies concerned the connection between satisfaction and performance and the finding was that satisfaction is more of an indicator of an employee's motivation to come to work; this means satisfaction is an influential factor to the employee's motivation in order to perform a

job effectively, and that performance can influence satisfaction directly under certain conditions. In looking at satisfaction and performance through this lens, their relationship is becoming more important and should be monitored, but not to determine if satisfaction leads to performance, because it tells something about how rewards, both essential or core, and those that are extrinsic, are being conducted in an organisation.

The factors that affect job satisfaction are divided into two categories. Hygiene factors deal with the doing of the job. They include supervision, interpersonal relations, physical working conditions, salary, institution policy and administration, benefits, and job security. In the context of the Unisa, hygiene factors that would affect the performance of staff negatively would be an instance whereby staff members do not feel good about the large number of students that they handle during the registration period. Another one would be an instance whereby there is micro-supervision on the part of supervisors, for example a supervisor or manager who is constantly overseeing the job done by the employee. This type of supervision might lead to a loss of confidence on the part of the staff member.

Another instance is when the working environment (offices/student counters) is not physically secured, which might create a fertile ground for criminality, hooliganism and unacceptable behaviour. Hygiene factors would be positively affected in an instance whereby, for example, Unisa's staff has been given a salary increase, extra benefits and there is a sense of and guarantee of job security. The instance whereby the relationships amongst co-workers are positive and atmospheric would also trigger good performance, which would in turn lead to good results.

Motivation factors lead to positive job attitudes because they satisfy the need for self-actualisation (Kopelman et al., 2008:257). Motivation factors are understood to be achievement, recognition, the work itself, responsibility, and advancement. The opposite of satisfaction is no satisfaction. The opposite of dissatisfaction is no dissatisfaction. The satisfaction of hygiene needs can prevent dissatisfaction and consequently poor performance, but it is said that only the satisfaction of the motivation factors will definitely bring about the kind of productivity and efficiency improvements required by the institution.

The application of this theory is good for the institutions, as it affords a good working environment whereby staff and the seniors (managers/supervisors) work in harmony. In the

case of this study, the McGregor' X and Y theory would ease the tension and/or even the possibilities for tensions in the work place, i.e. in Unisa. Managers who are willing to give power or responsibility to their team are progressive managers, e.g. a line manager who provides a room and opportunity for staff to take responsibility in the decision-making on operational issues would be seen as making a progressive move, considering the benefits of this kind of move, i.e. boosting the morale of the staff, and subsequent to that the need for self-actualisation is realised and achieved.

2.3.3 McGregor's X and Y theory

The McGregor's X and Y theory is based on the human work motivation and management. This theory portrays that satisfaction and dissatisfaction at work nearly always arise from different factors, and are not simply opposing reactions to the same factors, as had previously been believed (Arnolds and Boshoff, 2015:53-54). Kopelman et al. (2008:256) provide an outline and describe the context of this theory, where Theory Y is said to be based on the assumptions that employees are not intrinsically and inherently lazy; in fact, this theory supports that employees are capable of providing solutions and suggestions to the problems of the organisation and can come with solutions that bring about effectiveness and growth in the organisation.

The Y theory further expresses that the employees are actually capable of self-direction and control. However, the Y theory of McGregor's X and Y theory does not give away the entire freedom to the employees, due to the fact that it does recognise that through suitable and appropriate management practices, such as providing objectives and rewards and the opportunity to participate in decision-making, personal and organisational goals can simultaneously be realised. This means organisational leaders have a responsibility to ensure that the staff is committed to the organisation's deliverables, timelines, and goals, among others.

The management of performance in this regard is said to be paramount, as the failure to manage performance might potentially have a negative impact on the manner in which the organisation operates. According to Kopelman et al. (2008:256), successful management of this phase can yield good results on personal and organisational levels. In contrast to the Y theory, McGregor postulated that conventional managerial assumptions (which McGregor called Theory X) reflect fundamentally an opposite and negative point of view, viz. that employees are inherently

lazy, are incapable of providing suggestions for solutions of the organisation's problems, a lack of self-direction and control, and autonomous work behaviour. McGregor's X and Y theory is said to have outlined a new role for managers: rather than commanding and controlling subordinates, managers should assist them in reaching their full potential (Kopelman et al., 2008:255).

Table 2.1: Content theories

Content Theories	Comparisons	Applicability
Maslow hierarchy	<p>The needs for achieving personal goals can play a major role in ensuring motivation.</p> <p>The need for self-actualisation.</p>	Managers ought to make sure that the staff is given a role to play in the organisational processes as this might result in the satisfaction of needs, especially the needs for self-actualisation.
Herzberg's two-factor theory	<p>Motivation factors lead to positive job attitudes because they satisfy self-actualisation.</p> <p>Motivation is said to be sourced from within an individual as opposed to be sourced from any external source.</p>	Managers should ensure that staff is given a role to express themselves as it will lead to elicit self-confidence.
McGregor's X and Y theory	This vests its focus on the new management style that managers should not focus on the commanding of subordinates, but should rather provide opportunities and offer assistance to subordinates in order for them to reach their full potential.	<p>Managers should provide tasks without frequently checking on the progress made by the staff.</p> <p>The staff can then present to the managers without being pressurised.</p>

Source: Kopelman et al., (2008:258)

2.4 PROCESS THEORIES

According to Tosi, Rizzo and Carroll (1994:226), theories which focus on how behaviour change occurs, or how a person comes to act in a different way, are called process theories. It is said that there is less emphasis on the factor that contributes to the change of behaviour, but that content theory would contain the hypothesis about behaviour, such as that increasing the salaries would somehow increase or improve satisfaction and performance.

2.4.1 Expectancy theory

This theory stresses and focuses on outcomes, and not on needs, motivated by the outcome of how much an individual expects as a reward. The theory vests its focus on the intensity of a tendency to perform in a particular manner that is dependent on the intensity of an expectation that the performance will be followed by a definite outcome to the individual, i.e. better performance, based on individual factors such as personality, skills, knowledge, experience and abilities, equals adequate or even higher reward. Tosi et al. (1994:228) provide that the basic premise of the expectancy theory is that an individual will expend efforts in order to do things that will lead towards the desired outcomes. The analysis in this regard is that employees assess the situations and weigh the costs and benefits of the different alternatives, and then choose the option that has more benefits.

2.4.2 Equity theory

The equity theory calls for a fair balance to be struck between an employee's inputs, i.e. hard work, skill level, acceptance, and enthusiasm, and an employee's outputs, e.g. salary, benefits, recognition and other benefits that come along with the job done. The theory ensures that finding this fair balance serves to make sure that a strong and productive relationship is achieved with the employee and the managers, with the overall result being contented, motivated employees. According to Tosi et al. (1994:230), in the equity theory people are motivated to maintain "fair" relationships with others and rectify "unfair" relationships by making them acting fair. In this regard one can easily conclude that the absence of the fair treatment would automatically affect the staff member's morale and would therefore hinder the prospects of motivation within the staff members, and that which would have led to desired performance. For instance, a case whereby a Unisa staff member feels that their colleagues are getting unfair recognition and/or pay would inevitably cause the withdrawal in behaviour from the staff member who feels somehow aggrieved and prejudiced from a manager's biased behaviour. In this case motivation is affected and consequently performance is also affected.

The most fundamental ground in this theory is that employees expect their achievements, efforts and contributions to be judged by their managers in relation to the efforts, achievements and contribution of their colleagues. Failure of such a judgement will be deemed an “unfair” judgement and hence it can result in dissatisfaction and consequently in poor performance. The equity theory rests its interests in the comparison with the next person, hence Tosi et al. (1994:231) provide that the equity theory, unlike other theories that explain motivation through intrapersonal comparison, such as what have I achieved at the moment as compared to what I would like to achieve in the future, explains motivation through interpersonal comparisons, such as what have I achieve now and what will I achieved in the future compared to what others will achieve in the future. Tosi et al. (1994:231) outline three key factors that are used in explaining the motivation factor in equity theory:

- **Inputs:** These are the things that one brings to the job, such as skills, experience, age, and contribution. These can be any valuables that the employees feel are relevant to the job and would somehow result in recognition.
- **Outcomes:** These are the things that the employee perceives as the result of the job done. The outcomes are mostly expected to be positive values, such as an increase in salaries, promotions, other fringe benefits, and other benefits.
- **Referents:** This implies the focus of the comparison for the person, either other individuals or other groups (Tosi et al., 1994:231).

2.4.3 Reinforcement theory

The reinforcement theory stresses that an individual’s behaviour is a function of its consequences, based on “law of effect”. According to Arnolds and Boshoff (2015:53-63), for example, an individual’s behaviour with positive consequences tends to be repeated, but an individual’s behaviour with negative consequences tends not to be repeated, meaning that people tend to repeat behaviour that leads to a pleasant result. The reinforcement theory is based on the application of extrinsic rewards to behaviour.

The extrinsic rewards are those earned through the work done by the employee, such as a salary, benefits, praise and other recognitions. According to Tosi et al. (1994:227), intrinsic motivation is the drive to perform which results from a person’s internalised values and beliefs that the task is a reward in itself. It is said that the rewards for someone with high intrinsic task motivation

are called “self-administered” and therefore one has a positive feeling when the task gets completed.

2.5 MANAGEMENT OF HUMANRESOURCES

There are theorists cited in Van der Westhuizen (2016:30-31) who consider an institution as a two-way system, illustrated through two methods, i.e. incentive method, in the form of promotions, and/ or remuneration (performance bonus) also as persuasion method, to reward performers and encourage and motivate non-performers. Van der Westhuizen (2016:32) continues to emphasise that organisations need to be both effective and efficient; effective meaning meeting organisational goals in a timely way, and efficient, in his opinion, meaning the degree to which the organisation can satisfy the motives of its employees. In other words, the institutional goals will be accomplished and authority will be accepted when workers feel satisfied that their individual needs are being met. This is known as the acceptance theory of authority, while the theory of motivation claims that an individual member will contribute in exchange for incentives.

There is also a discussion of the Gulick and Urwick theory by Van der Westhuizen (2016:30-31) that emphasises the importance of structure and administration, focusing on the division of work at the institution and the reason to form it. This theory also outlines other reasons of work division, as follows:

- **Human nature:** Work allocated must be according to suitability, taking into consideration the personnel’s skills and knowledge;
- **Time:** Delegation must be for a specific task at a given time; and
- **Space** is of importance in ensuring that work is done effectively and efficiently.

Van der Westhuizen (2016:29-30) also refers to Henry Fayol’s theory that is a simple model of how management interacts with personnel, considered a relevant guide to managing staff productively. The management theory of Henry Fayol includes fourteen principles of management, namely division, authority, discipline, unity of command, unity of direction, subordination of individual interests to the general interest, fair compensation, centralisation, chain of command, orderliness in the workplace, with clean, tidy and safe facilities for the employees, equity, stability of tenure, initiative and team spirit.

From these principles, Fayol concluded that management should interact with personnel in five basic ways in order to control and plan production:

- **Planning:** Management must plan processes, the setting of goals and the optimum realisation of objectives;
- **Organising:** Management must avail resources and enable personnel to execute the expected tasks;
- **Commanding:** Management must direct and guide staff's performance with authority;
- **Co-ordinating:** Management must ensure that operations fuse together to obtain the main focus of operations, and
- **Control:** When managers must evaluate, judge and manage given tasks (Van der Westhuizen, 2016:30).

2.6 MANAGEMENT OF PERFORMANCE

Tafila (2014:63) states that underperformance is the failure to fulfil or to meet the stipulated terms of a contract, after entering into a legal contract with the employer to do so, a failure that may lead to a breach of an employment contract. The biggest employee-related headache is employee underperformance. Underperformance affects the institution detrimentally at three levels. There is the actual, measurable cost of lost production, the cost of correcting mistakes, increased overtime, and administrative costs, time spent managing the problem. The second level includes the impact on fellow employees, on teamwork, morale and others. These effects or costs are already difficult to quantify. The third level effects are beyond quantification, that is, among others, the impact on the organisation's brand and reputation of missed deadlines, and quality problems (Jordaan, 2011:28).

Underperformance is when an employee is willing to comply with the set performance standards but is unable to do so due to several reasons, and it results in a failure to fulfil the set terms and conditions of an employment contract, a failure that leads to breach of contract and serious misconduct. Underperformance is a question of fact to be determined on a balance of probabilities, therefore it is important that management should identify exactly how and why the employee is not doing what is required (Cummings and Worley, 2015:489). Equally, because employees are important role players, managers are expected to find ways to address underperformers, motivate these ineffective individuals to begin performing above the

threshold and demonstrate appropriate levels of competency, providing them with the right tools to assist them to meet targets, train, and support and equip employees (Tafila, 2014:112).

Unrealistic setting of targets, goals and expectations leads to underperformance. Tafila (2014:63) states that this exercise of setting unrealistic expectations sets employees up for failure and demotivates them, hence the management of underperformance. It is accepted that defining expected performance will inevitably lead to the identification of underperformance identified, as all institutions have set performance standards to which their employees must adhere. These standards are developed to assist the institution to attain its goals, an exercise which will identify outstanding performers and underperforming individuals at the same time. There are factors leading and contributing to the existence of underperformance, namely:

- Poorly designed systems causing operational problems;
- Poorly constructed criteria, which are cumbersome;
- Criteria based on activities rather than output results, or on personality characteristics rather than performance;
- Inconsistency in applying the agreed performance systems; and
- Poorly trained performance evaluators (Nel et al., 2005:318).

In managing performance, employee performance should be measured. Armstrong and Stephens (2005:275-278) state that the purpose of performance management is to get better results from the organisation, teams and individuals, by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements. According to Noe, Hollenbeck, Gerhart and Wright (1994:237-238), the purpose of performance management is divided into three categories, namely strategic, administrative and developmental. There are underperformance factors, as well as individual differences, which influence performance ratings, for example:

- Conscientiousness;
- Agreeableness;
- Organisational norms; and
- PA experience (Spence and Keeping, 2010:587).

The unique effect of underperformance factors has an impact on performance ratings, causing inaccuracies in what determines a true reflection of underperformance. Management of non-performance can also be applied as management focuses on:

- Building a workplace culture that encourages feedback and discussion in an open and supportive environment;
- Building a credible performance management system;
- Supporting practices, such as managing underperformance and recognising and rewarding good performance; and
- Socialisation of employees, making them understand and adopt and enhance the organisation's values and norms, as well as advocating a shared framework of understanding among employees (Nelson and Quick, 2011:265).

2.7 PERFORMANCE ENHANCEMENT

There are always expectations of how to maintain acceptable performance. Human resource development is described as the integrated use of training and development, institutional development and career development to improve individual, group and institutional effectiveness. Theories of corporate governance and vocational education and training are central to understanding the nature and extent to which institutions are prepared to invest in their employees, because training enhances employees' performance and the institution's effectiveness. Employees who are aware of their career development tend to be productive, committed, motivated and perform even better and are satisfied with their work. Development is an element of an integrated approach of HRM, which includes job analysis, reward and promotion. Employees who receive on-the-job training tend to perform better, especially if they are involved in the decision-making processes and delegation of responsibilities. Institutions that invest in the development of their employees benefit indirectly from return on investment (Nel et al., 2005:294).

There are various explanations for how not to deal with underperformance or performers in the context of PA. Underperformance has been viewed from the perspective that it is the intention of appraisers to rate performance accurately, an exercise which brings forth rating distortion. Underperformance can also be a reason for dismissal, as it is a form of misconduct. In such a case, dealing with incompetency becomes a cause of disagreement, as the PA exercise becomes

a preparation of a paper trail for dismissal or remedial exercise (Spence and Keeping, 2010:589).

Employees are the main performers and key to the successful achievement of the institutional goals, because in today's competitive environment an institution or organisation cannot afford to have underperformers or neglect to manage underperformance, hence the existence of appropriate policies and procedures, as well as clear performance standards in writing within institutions. The challenge with managing underperformance is that many managers are not equipped with the skills to conduct difficult conversations in a productive way. The tendency is to avoid the problem for as long as possible and to invent excuses for the lack of support from HR, or the lack of time to address the problem, and even leaving the problem to resolve itself, and an aversion to conflict (Jordaan, 2011:29).

It is important that before we can speak of underperformance, management should identify exactly how and why the employee is not doing what is required and expected of them, nor complying with the set requirements. The managers should propose and find a way of informing the employee as a way to try to solve the problems and improve performance (Cummings and Worley, 2015:489). Steps to manage underperformance are:

- Underperformance must be identified by management;
- Employer should advise and initiate performance improvements; and
- A joint problem-solving approach should be applied and set in place (Mahlakoleng, 2013:11).

Performance evaluation serves as an effective way to determine employees' abilities to perform certain duties successfully and to identify training needs. The morale among staff in an institution, where a performance management system is designed with great care and used optimally, is likely to be higher if all other human resource issues are taken care of. When monitoring performance, there should be congruence between institutional, unit and individual performance. One of the current challenges facing the IPMS process is the lack of institutional performance monitoring and evaluation, as well as the absence of standardised and approved operational plans and scorecards in colleges and support departments against which to correlate individual performance (Unisa Council, 2013:3).

Van der Westhuizen's (2016:50-55) argument is that for decades, administration has been and is still developing, bringing forth certain elements such as compensation of staff, appointment of competent staff, specialisation of work and efficient training methods to improve productivity.

The Unisa Council, 2013:3, policy stipulates that performance, should be consistent with the institution's mission; for services offered by a university, assessment criteria are continuity, consistency, and the conformity of the procedures used. To manage performance in Unisa, there is a performance cycle in place that is mapped over a twelve-month period with two cycles (six months per cycle), during which performance is planned, executed and assessed, in line with the agreed upon performance agreements extracted from the job descriptions. It is during this time that underperformance is observed, and performance is acknowledged, encouraged and rewarded. Underperformance is always a call for concern and is, as such, addressed by the managers and supervisors, in agreement with the broad cycle of activities associated with the university's IPMS. The IPMS involves planning, implementation, monitoring, development and assessment.

Spence and Keeping, 2010:318, 587, developmental and learning activities are also involved to assist with any shortfalls in performance, to ensure continuous improvement and to prepare individuals for future tasks. This is achieved through the Personal Development Plan (PDP). The managers/supervisors reflect on daily activities, knowledge-sharing with colleagues and innovative behaviour, to contribute to and enhance performance within the institution. There are factors leading and contributing to the existence of underperformance, namely:

- Poorly designed systems causing operational problems;
- Poorly constructed criteria, which are cumbersome;
- Criteria based on activities rather than output results or on personality characteristics rather than performance;
- Inconsistency in applying agreed performance systems; and
- Poorly trained performance evaluators.

There are also underperformance factors, as well as individual differences, which influence performance ratings, namely conscientiousness, agreeableness, organisational norms and performance appraisal experience.

In managing performance, employee performance must be measured. The unique effect of underperformance factors has an impact on performance ratings and causes inaccuracies in what determines a true reflection of underperformance. Management of underperformance can also be applied as management focuses on:

- Building a workplace culture that encourages feedback and discussion in an open and supportive environment;
- Building a credible performance management system;
- Supporting practices, such as managing underperformance and recognising and rewarding good performance; and
- Socialisation of employees, making them understand, adopt and enhance the organisation's values and norms, as well as advocating a shared framework of understanding among employees (Nelson and Quick, 2011:265).

According to Tafila (2014:63), underperformance is the failure to meet or fulfil the stipulated terms of a contract, after entering into a legal contract with the employer to do so, a failure that could represent a breach of an employment contract. The biggest employee-related headache is employee underperformance. As stated earlier, the detrimental effects of underperformance could be evident at various levels in the institution, including the actual and measurable cost of lost production, the cost of correcting mistakes, increased overtime, and administrative costs, time spent managing the problem. A further level includes the impact on other employees, on teamwork and morale. The effects or costs of these occurrences are often difficult to quantify. Even more difficult to quantify is the effects at a third level, which include the effect of underperformance on the organisation's brand and reputation as a result of aspects such as missed deadlines and quality problems (Jordaan, 2011:28).

There are various explanations for how not to deal with underperformance or performers in the context of PA. Underperformance can also be a reason for dismissal, as it is regarded as a form of misconduct. In such cases, addressing the incompetency often leads to disagreement, and the PA exercise serves to create a paper trail for dismissal or remedial exercise (Spence and Keeping, 2010:589).

Employees are the main performers and essential for the successful achievement of the institutional goals. In today's competitive business environment, institutions and organisations can ill afford to have underperformers or fail to manage such underperformance. It is the reason why institutions and organisations formulate and implement appropriate policies and procedures, and set clear performance standards that are available in writing. The challenge with managing underperformance is that many managers are not equipped with the skills to conduct difficult conversations in a productive way. Managers often tend to avoid such problems, also in an attempt to avoid conflict, for as long as possible, invent excuses for the lack of support from HR, or the lack of time to address the problem, often leaving the problem to resolve itself (Jordaan, 2011:29).

2.8 CONCLUSION

PM is a multifaceted process that requires rigorous application on the part of the management and senior leadership of the organisation. The theories have shown that in order for performance to be realised, a number of factors have to be met, i.e. the considerations of staff feelings and opinions, as this will satisfy the need of self-actualisation of the staff member. The Y theory of the McGregor's X and Y theory has proven that the inclusion of staff in the organisation's decision-making is crucial. Management is faced with the responsibility of being coaches, and this coaching is a process of a values-based and developmental approach to performance management which vests its focus on regular courteous and respectful performance conversations in order to promote continuous learning and performance improvement. Performance process theories have shown that management is a system comprising variations in human behaviour, and therefore has to be constantly monitored for the benefit of the organisation. The content and process theories can play a significant role in the organisation in order to achieve high performance, and serve to contribute to the success of service delivery, hence PA systems offer so much potential for employees' performance, feedback and reward, which are central to HRM decisions. Theories of PA were the focal point of this chapter, and highlighted the focus and analysis of employees' behaviour, leading to the next chapter, Chapter 3: Research Methodology. This chapter will be devoted to discussing the theory of research methods and practical collection of data to be analysed.

CHAPTER 3: RESEACH METHODOLOGY

3.1 INTRODUCTION

The focus of this research is to examine how performance management (PM) is executed in the administrative departments (DSAR and PGAD) respectively within the Unisa. The researcher intends to:

- Read the IPMS Policy with understanding;
- Administer a questionnaire to the administrative staff;
- Interview management and supervisors to obtain their views on the implementation of the IPMS Policy; and
- Analyse literature on the successful implementation of PA policies.

The study seeks to enhance the implementation of the IPMS Policy (Unisa Council, 2013), and to ensure that it is procedural, as well as improving the management of performance among the administrative staff in PGAD and DSAR. It also seeks to ensure that the institution functions effectively and delivers on its mandate.

3.2 METHODOLOGY OF COLLECTING DATA

Effective day-to-day management of employee performance, and adherence to policies and codes of the University, assist in monitoring performance and equipping both the employees and management to identify development areas and what support will be required from the line manager to enable the employee and the team to contribute optimally to the department's and Unisa's success, presently and beyond. Performance management, as a process integrated in other institutional systems and strategies for the optimal achievement of institutional goals, objectives and career-long development of employees, assists as additional resource requirements needed for staff development (Unisa Council, 2013:3).

The focus of the research is to analyse how PA is managed within the administrative departments, DSAR and PGAD respectively (departments that handle applications, registrations and verification of qualifications of undergraduate and postgraduate Students) within the Unisa. The actions required of the researcher in order to become familiar with the various facets of the IPMS Policy are outlined in section 3.1 above.

To reiterate, the study seeks to enhance the implementation of the IPMS Policy and to ensure that it is procedural as well as improve the management of performance among the administrative staff, in DSAR and PGAD, to ensure that the institution functions effectively and delivers on its mandate. The data collected will show the gaps that exist in the implementation and management of the IPMS and PA, and provide recommendations for a way forward. A comprehensive literature review on the topic of this report was conducted. The following research methods, i.e. data collection, questionnaires, and interviews, are used to collect information.

3.3 DATA COLLECTION METHOD

In order to determine the impact of performance at Unisa, the researcher will collect data from primary and secondary sources. For collecting primary data, the researcher will use questionnaires, which will enable the researcher to tailor the framework within which the questions will be asked to obtain the relevant information needed from the participants. A good rapport will be established by the researcher with the participants to receive honest and truthful information in response to the questions asked. The data collected will be checked for validity and reliability.

For the secondary data, the researcher will interrogate the University's policies, procedures and other HR-related written sources, as well as scholarly articles and books written on this subject.

Data collection is a process by which the researcher collects the information from all the relevant sources to find answers to the research problem, test the hypothesis and evaluate the outcomes. In this instance, data and/or extensive information will be located and obtained from a small sample of the administrative staff and the management team respectively, and limited, with a side-by-side comparison, to have input in terms of how both the staff and management team view the implementation of the IPMS Policy. The approach will be to first report the qualitative statistical results and then discuss the qualitative findings (Creswell, 2014:222).

The researcher will collect data by distributing, questionnaires for completion and analysis. Since, Unisa support the administrative departments, the variables to be studied will underpin the questionnaire. The qualitative method that studies behaviour and attitudes, (Creswell,

2014:52-64), as well as the Qualitative method, discussing the results that place the participants in a favourable light, will be explored and utilised in this research (Creswell, 2014:99).

The questionnaire, over and above the questions put forth for the respondents, has a consent paragraph indicating to the respondents that their participation is voluntary and confidentiality and anonymity will be maintained.

3.3.1 Questionnaires

Questionnaires are a formalised set of questions for obtaining information from respondents; in this instance, it will be the administrative staff of both departments, i.e. DSAR and PGAD. Postal questionnaires will be used where respondents are asked to read the questions and answer by writing their own “free response” to the questions, in accordance with Sapsford and Jupp (2006:98). Self-administered questionnaires’ structure will be used and respondents will be selected randomly to determine their understanding of the IPMS system, as well as their views on the implementation of the PA assessment system applied by the University. The responses to these questions will provide the researcher with the existing gaps and information to formulate recommendations as a way forward to ensure proper understanding, interpretation, and implementation by the employees and management alike, to achieve the desired goals as set out by the IPMS Policy.

For data collection, the researcher will distribute questionnaires for completion by the administrative staff of DSAR and PGAD. The questionnaire will zoom into, the questions which will probe and unleash an outcome or results that bring forth improvement on transgressions, collect data on the principles, rules, and guidelines formulated or adopted by Unisa to reach its long-term goals set on performance.

The response to the questions emanating from the problem statement, will provide the researcher with an understanding as to whether the IPMS Policy is implemented and attains its stipulated purpose and correlates with the strategy policies of the institution.

3.3.2 Interviews

According to Van der Westhuizen (2016:131), interviews are conversations between two people who exchange information, the researcher and the respondent. In this instance, face-to-

face interviews will be conducted with the management level (managers and supervisors) as they are the ones responsible to manage and evaluate the staff in their teams by applying PA. The HR and IPMS departments will also be interviewed because they are the custodians of this IPMS process. The interviews will be a follow-up process to seek further clarity on the responses received from the questionnaires, and obtain their respective viewpoints on the IPMS Policy and system.

Interviews remain popular because they afford an opportunity for the interviewer and interviewee to meet face-to-face and to exchange information. In this instance the researcher will be afforded the opportunity to ask questions and gather information in a relatively unsystematic manner, to obtain responses on the implementation of the IPMS Policy, employment contracts and employment conditions. Interviews will be conducted amongst the management level to obtain their views on the implementation of the IPMS Policy.

3.3.3 Voluntary participation, privacy, confidentiality and anonymity

Data collection usually takes place in ‘natural’ settings, rather than in situations specifically set up for research purposes. It is important that the confidentiality of information provided by research participants and the anonymity of respondents must be observed and respected. Research participants must take part voluntarily, free from any coercion and intimidation, and harm to research participants must be avoided in all instances. The independence of the research must be clear and any conflict of interest will be explicit.

3.3.4 Consent

Research staff and participants must normally be informed fully about the purpose, methods, and intended possible uses of the research, what their participation in the research entails and what risks, if any, are involved. These features have considerable significance when it comes to thinking about ethical issues, and we will be focusing especially on ethnographic or participant observation research for this reason, although our discussion will be relevant to most other kinds of qualitative work.

3.4 RESEARCH METHODS

There are various methods of collecting data for the purposes of research studies. Perhaps the two best known methods are quantitative and qualitative data collection approaches. The results

of quantitative research are often expressed in numbers and graphs. It is used to test or support theories and assumptions. Quantitative research can be used to establish generalizable facts about a topic. Common methods include surveys or questionnaires with close-ended questions. A common measure of responses to such questions is to break them down on a five-point Likert scale, with the responses being measured from “Not at all” to “Highly agree”. These results are then presented in the form of graphs or simple numerical comparisons.

Qualitative research, on the other hand, is usually expressed in words. It is used to understand to interpret the respondents’ thoughts, opinions or experiences. This type of research is used to gather in-depth insights into the topic, and thereby ensuring a better understanding of the topic of the study (Denzin and Lincoln, 1994). The results of this approach are analysed by studying the responses of the participants to identify words that are used repeatedly, also called qualitative content analysis, which would be identify themes that occur throughout the experiences reported on by the respondents. Thematic analysis, which is usually the next step, would identify those themes and concepts that dominate the discussion (Guest, Macqueen and Namey, 2012), and could therefore be regarded as the most important aspects to be analysed and addressed in order to answer the research question.

To ensure that the data collected would deal with the widest possible range of factors affecting the implementation of IPMS in Unisa, it was decided to adopt a mixed-method research approach (Creswell and Creswell, 2018). To obtain the views and responses from the employees on their experiences of IPMS, a quantitative approach was adopted in the form of questionnaires, with 20 close-ended questions. This was deemed appropriate to obtain the responses of a larger numbers of respondents than would have been possible if only interviews were used. The responses would be measured on a five-point Likert scale.

To obtain the views of management on the implementation of IPMS in Unisa, it was decided that a qualitative approach would be more appropriate, and would result in a richer yield of information to be analysed in order to answer the research question. The data gathering phase consisted of open-ended interviews with a number of managers and supervisors in order to get a better understanding of their thoughts, opinion and experiences of implementing IPMS in Unisa.

The research methods to be applied could be classified as content analysis, as this topic will be researched and documented. This research will put forward the ideal situation as articulated by the IPMS Policy, on how the policy is to be implemented and managed, generate a well-formulated discussion and identify reasons for non-compliance, as well as interventions to manage such transgressions, i.e. policy evaluation. A comprehensive literature review on the topic is done.

All of the research material used is scholarly literature, books and journal articles, which will provide insight into the various factors that cause the non-effective implementation of the IPMS Policy, while advocating and promoting performance. In order to govern performance, and the implementation thereof, an organisation must consistently manage all of the parts that make up the overall performance, at all levels, in order for the organisation to perform holistically as an entity. When looking at performance, it should be clear what job is to be done by the employee, who has to be remunerated, and whether such a job is done properly, as underperformance comes at a cost.

3.5 DATA PROCESSING AND ANALYSIS

In obtaining data, variety and diversity have to be applied to obtain different perspectives (Van der Westhuizen, 2016:125). In order to analyse, produce and validate the data, the researcher will also collect primary data. The aim of the data collected from the administrative staff will be to establish the staff's understanding of the stipulations as contained in the IPMS Policy, the staff's interpretation of expectations as set by management and concerns raised by the staff. The data collected from the managers and supervisors will aim to establish the challenges faced by management in implementing the IPMS Policy, monitoring and evaluating performance.

The response of HR and IPMS will be to establish if the necessary information sessions, training and awareness were done with all the stakeholders to make sure that they all understand and know what is expected of them in implementing and assessing performance. The data analysis will be done to formulate recommendations to address the gaps that exist and that prevent the process from attaining and assisting the institution to obtain its strategic goals.

Data will be collected by engaging and talking directly, up and close, with participants. As this is interpretive research, there is a need to provide an accurate account of information,

application of a strategy that checks the accuracy of the data, and validation (Creswell, 2014:195). This is a case study of Unisa, PGAD, intended to elicit views and opinions from participants. The researcher will analyse the data collected and use a software program to interpret the data gained from face-to-face interviews, questionnaires and narratives from interviews brought by further clarity-seeking questions emanating from the questionnaires, presenting this in the form of a report. During analysis, the accuracy and credibility of the findings play a critical role.

3.6 CONCLUSION

This researcher uses a qualitative design to collect data and provide a report on the full range of findings collected through interviews and observing behaviours of participants as they act within the context of the natural setting, and through the face-to-face interaction. The secondary source of data will be literature on this topic. The Unisa support department staff will provide the researcher with a platform to observe performance as guided by PA strategies in place within the institution.

CHAPTER 4:

CASE STUDY: UNIVERSITY OF SOUTH AFRICA

4.1 INTRODUCTION

Unisa, as an open-distance, electronic-driven, learning institution, aims to foster a culture of performance excellence, is dedicated to offer reputable, comprehensive, flexible and accessible qualifications, hence the need to have a functional and sustainable administration wing to support the student administration and promote institutional governance.

In this chapter, the organisational structure of Unisa, will be addressed.

4.2 ORGANISATIONAL STRUCTURE OF UNISA

Performance reviews twice a year are not enough because too much will have happened between appraisals for them to be adequate reflections of work done. Constant, continuous feedback on performance is what is needed to encourage co-operation between management and individual employees. Once employees get used to a continuous flow of reaction and responses, they may feel compelled to comment constructively on their behaviour and approach to performance.

Student Admissions and Registration DSAR and PGAD are the departments responsible to advise and register 400 000 undergraduate and postgraduate students.



Figure 4.1: Student Administrative Processes
(Researcher's own design)

4.3 CASE STUDY: UNISA

In order to understand operations in this institution, the period of focus is over five (5) years. Unisa's multi-year plans are translated into performance expectations for individual employees to achieve. The achievement of these expectations is ensured through a process of monitoring, review and continuous improvement. In Unisa there is a performance cycle in place, mapped over a twelve-month period, done quarterly, during which performance is planned, executed and assessed. The IPMS is primarily used as a mechanism to translate the institutional objectives, measure targets and attain goals. Performance should be continuous, consistent and conform to the organisation's mission. The IPMS involves:

- Performance planning;
- Performance implementation, monitoring and development;
- Performance review (formative); and
- Performance assessment (summative) (Unisa Council, 2008:3).

At Unisa, the IPMS assessments are attached to remuneration, to reward compliance of good performers as well as outline intervention measures for non-performers. The remuneration policy in Unisa is in place to ensure that both the academic and administration employees' performance is managed and rewarded accordingly, and the remedial action(s) meted out assist the employees to improve their performance rather than punish them for non-compliance. In order for the employer and employee to remain in agreement on operations, performance management requires employees to be informed of:

- What is expected of them as employees;
- Confirm expectations of the employer;
- Provide feedback on how they are doing based on the stipulated expectations;
- Put performance standards in place;
- Inform the employee of the dissatisfaction when performance standards are not met; and
- Stipulate how an employee may improve on the job (Unisa Council, 2008).

The departments responsible for the business of the day in the university, i.e. applications, admissions and registrations. There is the ideal performance as stipulated by policy and agreements in place and what is happening practically on the ground, i.e. *the expected vs the as is*. It is a known fact that the department's performance is measured by the processed and registered numbers of students for each academic year.

4.4 POLICY STATEMENT AND OBJECTIVE FOR UNISA

To provide an environment conducive to performance, to ensure that employees receive the necessary resources and support to carry out their responsibilities, to correct performance shortfalls in a proactive manner, to enable employees to showcase their individual contributions towards achieving Unisa's goals and to receive recognition and acknowledgement for superior performance, Unisa has a performance management strategy in place.

The objective of Performance Management in Unisa is:

1. To foster a culture of performance excellence, accountability and stewardship consonant with Unisa's values, objectives, institutional identity and culture;
2. To link the day-to-day activities of every employee to Unisa's operational needs and its long-term goals to ensure effective and sustained performance;
3. To build relationships of collegiality, openness and trust between employees, their colleagues and their line managers by incorporating mentoring, coaching and regular and honest performance conversations as key elements of performance management;
4. To enhance quality by engendering a culture of continuous learning and critical self-reflection; and
5. To promote service excellence by inspiring employees to serve students, colleagues and other stakeholders with integrity and dedication.

4.5 IMPLEMENTATION OF PERFORMANCE MANAGEMENT

Performance management (PM) is a very important process of HRM, because PM implies an assessment of current or previous results or performance of the employee, team or the whole institution. The Constitution of the Republic of South Africa, 1996, Chapter 7, Sections 151-154 (RSA, 1996), states that performance management is critical to ensure that plans of institutions are being implemented, that they have the desired developmental impact and that resources are being used efficiently to establish and maintain a service-orientated culture of operation. Therefore, the Unisa's operational plan, aims and objectives fully corresponds with the Constitution.

Performance management is a means to an end, which is the achievement of organisational goals, objectives and continuous employee development through training, mentoring and coaching. The purpose of performance management should be clearly communicated and based

on the organisation's business strategy and culture. Managers are the drivers of the process and hold one another accountable for engaging in performance management practices (Mello, 2015:689). Performance management requires employees to be informed:

- What is expected of them, as an employee;
- Confirms expectations of the employer;
- Provides feedback on how they are doing based on the stipulated expectations;
- Establishes performance standards;
- Informs the employee of dissatisfaction when performance standards are not met; and
- Stipulates how an employee may improve on the job (Unisa Council, 2013:5).

Unisa currently practices primarily a Management by Objectives (MBO) approach to manage the performance of Unisa staff. This is due to the ever-increasing rate of change, as goals defined at the beginning of the performance management cycle might be obsolete within months, weeks or even days, because the MBO approach focuses on individual performance and defining individual goals, and it often promotes competition instead of co-operation between employees. When employees define their goals for the upcoming period, they tend to be conservative and play it safe in order not to commit to something they might not be able to accomplish (Unisa Council, 2013:4).

DSAR and PGAD also tend to approach problems that they encounter as obstacles to be avoided rather than challenges to embrace and from which to learn. This stifles employee creativity, supervisor flexibility and is contrary to the spirit of a learning institution. It also focuses on the achievement of objectives in isolation, instead of emphasising the overall value those employees' efforts and contributions add to the institution. The IPMS follows a more values-based and developmental approach to performance management, which will focus more on regular performance conversations and coaching to promote continuous learning and performance improvement (Unisa Council, 2013:3).

Institutions of higher education, keep performance evaluation systems and remuneration systems separated from each other, because they do not have the ability to successfully connect these two activities; they also point to the fact that the manner in which performance is linked to remuneration has an important effect on individual work motivation. Recent developments in the NQF in South Africa are forcing organisations to investigate the manner in which

employees are remunerated for performance and participation. The relationship between performance and remuneration should be clear and decisions should be made about how performance evaluation can influence the remuneration system, and vice versa. Performance evaluation and the criteria used for such evaluation can have a significant impact on the remuneration system of an organisation (Brand and Pretorius, 2003:580).

Semakula-Katende, Schmickl and Pelser (2013:1), the effectiveness of performance appraisal systems is undermined by the focus on the role of reward and attitudes, hence the development of the IPMS in Unisa to develop a structural model from the qualitative and quantitative findings from which to address the identified gaps in order to improve the effectiveness of appraisals. The attention that role players tended to give to the rewarding of employees during the appraisal process made it appear as the only important determinant of an appraisal's success. In appraisal systems in many public institutions, reward has been given unnecessary prominence over other drivers, such as management and development. That led most key role players (leaders, managers and employees) to perceive the current employee performance management and development system to be purely for monetary (cash bonuses) purposes, which, in turn, compromised its effectiveness.

The PA links the institutional goals to employees' attitudes and expectations to ensure that the plans for rewarding and personal development are developed simultaneously. In implementing PA, the system should advocate performance through sub-processes of goal setting, planning, consistent monitoring, feedback, assessment and analysis of performance, periodic reviews, paying attention to underperformance and coaching (Mello, 2015:689). The IPMS, process starts from the beginning of the year, with the signing of performance agreements, then the mid-year review and year-end review. The agreements are drawn up in accordance with job descriptions. Assessments are done in line with these agreements twice in a year, i.e. the mid-year and year-end assessments, hence staff member's performance are from 1 January to 31 December. The mid-year review is formative, while the year-end assessment is summative (Unisa Council, 2013:3).

The IPM policy stipulates that incumbents and their line managers do the assessments by allocating ratings with appropriate evidence, paragraph 7.1.3, which expects line managers to keep appropriate records and evidence to substantiate performance during assessment cycles. The rating descriptors document has been developed to assist with a more consistent and

standardised application of the five-point rating scale for assessment rating purposes. Assessment is primarily criterion-referenced and evidence-based and is aimed at ensuring that performance ratings reflect actual performance against pre-determined targets and standards as supported by documentary evidence, where possible, while leaving room for managerial judgement. The said assessment is also norm-referenced and aimed at promoting fairness and equity by comparing employees' ratings for similar jobs and job grades and across institutional units to ensure that ratings are allocated fairly and consistently in terms of the IPMS rating scale.

In managing and rating performance, the following are factors, i.e.:

- Potential negative consequences of ratings;
- Organisational norms;
- The opportunity to advance self-interests; and
- Proper management of performance requires commitment and dedication from top management, and a dedicated organisational structure set up to facilitate the performance improvement initiatives and efforts, evaluating and monitoring performance and underperformance. Monitoring employee performance levels, communicating with performers and underperformers alike, and making it clear that underperformance is not desired in the organisation are required (Spence and Keeping, 2010:589-597).

The IPMS rating scale below (Table 4.1) is the table being mentioned and referred to in paragraph 7.3 of the IPMS Policy, which shows the typical normal distribution of employee ratings. Performance ratings take place at different levels in Unisa to contribute to consistent and fair performance management and assessment processes. Evidence should consist of both “documentary evidence” (approved documents, written records and statistics), as well as evidence of the employee’s behaviour as observed by the line manager and based on feedback from other relevant stakeholders. There should be a collective agreement among the line managers in a college or support department on how to apply the rating criteria in the unit.

Table 4.1: IPMS rating scale

The IPMS Standard Rating Scale		
Rating	Descriptor	Definition of descriptor
5	Far exceeds required standards	Exceptional performance in all areas of responsibility. Planned objectives were achieved well above the established standards and accomplishments were made in unexpected areas.
4	Exceeds required standards	Consistently exceeds established standards in most areas of responsibility. All requirements were met and objectives achieved above the established standards.
3	Meets required standards	Performance adds value to the achievement of the unit's and Unisa's objectives and targets. All job requirements were met and planned objectives were accomplished within established standards. There were no critical areas where accomplishments were less than planned.
2	Partially meets required standards	Performance in one or more critical areas does not meet expectations. Not all planned objectives were accomplished within the established standards and some responsibilities were not completely met. Needs improvement.
1	Does not meet required standards	Does not meet the set minimum job requirements. Performance is unacceptable. Responsibilities are not met and important objectives have not been accomplished. Needs immediate improvement.

Source: Unisa Council (2013:4)

4.5.1 IPMS expectations

In Unisa, PA is a formal system of measuring, evaluating and influencing the job-related attributes, behaviours and outcomes of an employee. The system aims to determine how productive an employee is and whether the productivity of the employee can be improved. The

management of every institution, in co-operation with all employees, should be responsible for the creation of a system wherein activities such as the planning, communication, feedback and control of performance evaluation can take place. The IPMS Policy, approved by the University Council in 2008 and revised in 2013, clearly states the expectations and requirements with which to comply. The IPMS is underpinned by a shared commitment to high performance as part of the University's pursuit of quality and excellence in performance. This implies, among other things:

- Fairness, equity and transparency in applying the IPMS;
- A commitment to use the IPMS not as a punitive but as a developmental tool;
- A team approach to creating an enabling and empowering working environment conducive to high performance;
- Personal accountability for achieving own performance standards and targets and for correcting performance shortfalls where these exist;
- A commitment from the University to provide employees with the necessary resources and support to perform their work to the required standards;
- Appropriate recognition of superior performance; and
- Acceptance of the need for continuous institutional and individual learning as well as renewal to ensure a vibrant and relevant institution (Unisa Council, 2013:2).

4.5.2 Staff development

Staff development is part of talent management in performance management in Unisa. In every institution, staff development integrates individual performance with strategic goals, all the way from the upper level management to the workers at the coalface. It is therefore important that every person at each level should know what is required of them and whether they are meeting these requirements. Performance evaluation is necessary to determine how well or how poorly employees reach these objectives, and the outcomes serve as a development aid to employees to help improve their performance. Performance evaluation and appraisal should be continuous and informal, with plenty of feedback informing employees about how they have performed in comparison with the standards set by the organisation (Brand and Pretorius, 2003:580). Staff development entails feedback on performance, developmental and learning activities to assist with any shortfalls in performance, to ensure continuous improvement and prepare individuals for future tasks.

At Unisa, there are yearly submissions of performance agreements and developmental activities, through personal development plans (PDPs). These plans put forward the need for training and development. There are also training needs emanating from needs analyses done once a year by all line managers/supervisors in consultation with subordinates. PDPs are inclusive of the career discussion outcomes for that specific year. Paragraph 7 of the Human Resources Training Policy in Unisa states that competency requirements are described as skills, knowledge and attributes required to effectively and efficiently perform assigned jobs or tasks within the section/portfolio (Unisa Council, 2014:3).

Each portfolio, department, college and directorate will identify competencies required in that area of responsibility to perform assigned functions effectively, as outlined in their business or operational plan(s). These identified competencies are used as the basis for needs assessments, personal development plans, job descriptions and performance agreements, while section 7.1 of the Human Resources Training Policy in Unisa stipulates that the establishment of the need for training and development will be the first step in the training cycle (Unisa Council, 2014:4).

Performance evaluation has a logical impact on training and staff development and is beneficial to performers through salary increases and promotions, affording underperformers a decent opportunity to improve in their identified shortfalls. Training and development can only be executed optimally in situations where it can be related directly to development opportunities and behaviour improvements. The management and evaluation of employees' performance is a critical success factor in the future of any institution or organisation; without a skilful and dedicated workforce, no competitive advantage can be obtained. Strategic planning and objectives play an important role in determining the success of an institution. These objectives must be reached through the actions and behaviour of all employees of the organisation (Brand and Pretorius, 2003:576).

During PA, a coach, a supervisor is responsible to encourage employee growth and development. As an evaluator, a supervisor is responsible for making judgments that influence an employee's roles in the institution. Both the supervisor and employee should try to make performance feedback a constructive learning experience, since feedback has long-term implications for the employee's performance and for the working relationship (Nel et al., 2005:96).

Employees have the responsibility to take care of their own continuous performance improvement and development. They have to create action plans and follow through to achieve objectives, request advice to meet the set objectives, plan for performance of expectations, actively partake in performance review, requesting feedback on their performance, and ensure an ongoing effort to perform duties to the required standards set (Mahlakoleng, 2013:13). Once an employee's current performance is measured, performance developmental areas identified, and strengths reinforced as well as overall feedback given to the employee, employee performance might improve when appropriate PA criteria are set and clear standards for evaluating employee performance are provided in the job description (Van Niekerk, 2017:1).

4.6 IMPLEMENTATION OF INTEGRATED PERFORMANCE MANAGEMENT

IPMS at Unisa forms part of the integrated talent management framework which is aimed at recruiting, developing and retaining employees with the requisite mind-sets, knowledge and skills to achieve the University's strategic plan. The IPMS is used primarily as a mechanism to translate the institutional objectives, measures and targets in Unisa's multi-year plans into performance expectations for individual employees and to assist employees in achieving these expectations through a process of continuous monitoring, review and improvement (Unisa Council, 2013:1).

The provisions for the administration of the IPMS system and its records are contained in the IPMS standard operating procedures. Motivating employees has never been easy, because employees come into the institution with different needs, personalities, skills, abilities, interests and aptitudes. Employees also have different expectations of their employers and different views of what they think their employer has a right to expect of them (Cummings and Worley, 2015:486). PA systems are intended to improve the accuracy of measured performance and increase its agreement with actual performance (Nelson and Quick, 2002:173).

Van der Westhuizen (2016:146), articulated that PA empowers employees by giving them an input into decisions about their personal development; it improves communication between appraisers and employees, enhances co-operation and creates a common vision amongst employees, which is necessary to achieve the goals of the institution. PA helps to improve employee discipline, which enables public institutions to retain well-behaved, trustworthy and

loyal employees, as well as the institution's assets. It also enhances institutional development, administrative purpose and employee development. PA gives employees an opportunity to:

- Appraise their own performance and determine if their performance contributes to the public institution and, if not, what improvements are required for their performance to be relevant;
- Receive regular feedback on their performance from the appraisers;
- Initiate training interventions to improve performance;
- Respond to feedback about their performance and identify factors that limit their performance; and
- Agree or disagree with an appraisal outcome that reflects on their level of performance (Van der Westhuizen, 2016:146).

Daft and Marcic (2011:274) state that a strong HRM system fosters a strong organisational climate in which employees understand what is expected from them. PA is often focused on compliance with procedures and prescribed methods stated therein. Reports delivered by managers/supervisors is especially important, as manager/supervisors have the ability to deliver insightful performance feedback, to encourage employees to treat mistakes as learning opportunities, and to establish a knowledge-sharing environment among team members. In administration support, the managers/supervisors as change agents could do a SWOT (strengths, weaknesses, opportunities and threats) analysis. They should analyse and monitor threats and opportunities in the external environment as well as strengths and weaknesses in the institution, to determine the implementation of the institution's HR policies and practices, and to drive the institution's strategic objectives by managing the performance of individual team members.

Performance appraisal is conducted to provide a basis for decisions about employees to improve employees' performance and ultimately enhance the effectiveness of the institution, encourage and enhance performance within the institution, explore the role played by feedback, and support introduced to assist underperformance in employees. In Unisa, PA is instituted with the aim of getting the job done while meeting employees' career development needs by integrating the performance management process with employee career development (Nel et al., 2005:489).

To facilitate the aforementioned activities, communication plays a vital role in ensuring that there is a flow of information between the manager and the employee. Open communication ensures that the employees are informed of their deficiencies in a timely manner, solutions are provided on how to rectify the identified deficiencies and reasonable opportunity is granted for improvement (Stroh, 2001:63), as well as building sustainable working relations in the work environment. Performance appraisal is an institutional system that comprises deliberate processes for determining how to improve staff effectiveness. The provisions for the administration of the IPMS system and its records are contained in the IPMS standard operating procedures.

4.7 MANAGING UNEXPECTED PERFORMANCE

Underperformance is a question of fact to be determined on a balance of probabilities, therefore it is important that management should identify exactly how and why the employee is not doing what is required (Cummings and Worley, 2015:489). Equally, because employees are important role players, managers are expected to find ways to address underperformers, motivate these ineffective individuals to begin performing above the threshold and demonstrate appropriate levels of competency, providing them with the right tools to assist them to meet targets, train, and support as well as equip employees (Tafila, 2014:112).

Unrealistic setting of targets, goals and expectations leads to underperformance. This exercise of setting unrealistic expectations sets employees up for failure and demotivates them, hence the management of underperformance. Tafila (2014:63) states that underperformance is the failure to fulfil or meet the stipulated terms of a contract, after entering into a legal contract with the employer to do so, a failure that could be interpreted as a breach of the employment contract. It is accepted that, with expected performance, there will also be underperformance identified, as all institutions have set performance standards to be adhered to by those whom they employ. These standards are developed to assist the institution to attain its goals, which invariably simultaneously identify outstanding performers and underperforming individuals in the organisation. There are factors leading and contributing to the existence of underperformance, namely:

- Poorly designed systems causing operational problems;
- Poorly constructed criteria, which are cumbersome;

- Criteria based on activities rather than output results or on personality characteristics rather than performance;
- Inconsistency in applying agreed performance systems; and
- Poorly trained performance evaluators (Nel et al., 2005:318).

In managing performance, employee performance should be measured. Armstrong and Stephens (2005:275-278) state that the purpose of performance management is to get better results from the organisation, teams and individuals, by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements. According to Noe et al. (1994:237-238), the purpose of performance management is divided into three categories, namely strategic, administrative and developmental. There are underperformance factors, as well as individual differences, which influence performance ratings, e.g.:

- Conscientiousness;
- Agreeableness;
- Organisational norms; and
- PA experience (Spence and Keeping, 2010:587).

The unique effect of underperformance factors has an impact on performance ratings, causing inaccuracies in what determine a true reflection of underperformance. Management of non-performance can also be applied as management focuses on:

- Building a workplace culture that encourages feedback and discussion in an open and supportive environment;
- Building a credible performance management system;
- Supporting practices, such as managing underperformance and recognising and rewarding good performance; and
- Socialisation of employees, making them understand and adopt and enhance the organisation's values and norms, as well as advocating a shared framework of understanding among employees (Nelson and Quick, 2011:265).

4.8 CONCLUSION

Performance management has, for many years, been regarded as a critical process aimed at improving employee performance and, ultimately, institutional effectiveness. It is therefore

important in Unisa to monitor the expected performance, which is explained in the foregoing discussion of the tools in place to ensure that staff performance and institution effectiveness enable the institution to achieve its mandate. The managers should propose and find a way of engaging employees, when delivering reports on performance, to obtain ways and means to resolve problems and improve performance.

CHAPTER 5: ANALYSIS AND INTERPRETATION

5.1 INTRODUCTION

Chapter 3, outlined the research methodology that was used in collecting data. It was revealed that the study will use mixed-method of research to gather information. The primary and secondary sources were used to collect information. The primary sources were derived from interviews and questionnaires, whilst the secondary data was obtained from the literature that is relevant to the study. This chapter deals with the analysis and interpretation of the results collected and sets the tone for the final chapter, which discusses the findings, recommendations and conclusions.

To determine the number of participants that were selected for the study, the sample size representative of the population of DSAR and PGAD employees in the permanent employment of the Unisa was considered. The results of the above indicated 27 participants, which consist of:

- Seventeen (17) participants took part in responding to the questionnaires, made up of the staff component who is the incumbents to be assessed, and/or reviewed on their performance, and
- Ten (10) participants were interviewed on the responsibility of implementing IPMS.

5.2 DATA COLLECTION

Data collection took place in two ways: firstly, by means of questionnaires distributed to the administrators and advisors in DSAR and PGAD. The administrative officers and advisors are responsible to carry out one of Unisa's mandates of registering students. Electronic questionnaires were used where respondents were asked to read the questions and answer, freely without coercion or promise of incentives for taking part, providing their responses in writing, in accordance with Sapsford and Jupp (2006:98). Self-administered questionnaires' structure was used, and respondents were selected from the respective levels in the administrative departments, including the management level to determine their understanding of the IPMS system and policy, as well as their views on the implementation of PA assessment system applied by Unisa.

Secondly, interviews were conducted amongst the management level to obtain their views on the implementation and management of the IPMS policy and conducting performance reviews. Interviews are conversations between two people who exchange information, the supervisor and the subordinate (Van der Westhuizen, 2016:131). The HR and IPMS departments were also interviewed because they are the custodians of the IPMS process. The interviews, apart from sourcing information from the subordinates, also serve as a follow-up process to seek further clarity on the responses received from the respondents to the questionnaires.

5.2.1 Questionnaire

Questionnaires were distributed by means of electronic invitations to a randomly selected audience of respondents who were able to complete the questionnaires electronically and return them to the researcher anonymously. Section A of the questionnaire dealt with biographical information of the respondents, while at the same time safeguarding their anonymity. Section B of the questionnaire explored respondents' views and experiences of performance appraisal at Unisa. Section C of the questionnaire deals with the relationship between managers and subordinates on the management of IPMS at Unisa. The complete questionnaire is attached as **Annexure B**.

A total of 35 questionnaires were distributed, and 17 questionnaires were returned; 70.6% from female respondents, and 29.4% from male respondents. This seems to indicate that there are more women working in DSAR and PGAD. This is aligned with the employment statistics of South Africa, stating there are 57.1% females and 42.9% males employed and active (Statistics South Africa [STATSSA], 2020).

5.3 BIOGRAPHICAL INFORMATION

The research study provided biographical data of the respondents regarding their gender, population group, age, current appointment status, highest qualification, capacity of employment, years' of service and departments in which they are employed. The data collected is represented in the table below. Numbers are used to indicate the variable information in each category, namely age, years of service, and qualifications. Data collected is categorised under male and female.

Table 5.1: Biographical information of participants - questionnaires

Biographical details		Male	Female
Years of Service	1. 0-5	4	3
	2. 6-10	1	3
	3. 11-15		1
	4. 16-20		1
	5. 21+		1
Age	1. 18-27	1	2
	2. 28-40	3	5
	3. 41-56	1	5
	4. 57-70		
Highest qualification	1. Doctorate		
	2. Master's degree		
	3. Honour's degree		7
	4. Postgraduate Diploma		
	5. Bachelor's degree	2	2
	6. Diploma/Certificate	3	1
	7. Matric/Grade 12		2

According to the Department of Institutional Statistics and Analysis (DISA), through the Higher Education Management Information System (HEMIS) submission, it was reported that Unisa had 5,575 staff members. The staff gender complement was reported at 3,261 females (55.7%) and 2,593 (44.3%) males. The administrative staff component was at 56.8% (3,164), while the number of academics was at 33.2% (1,846) of the total of the staff employed. The administrative staff continues to grow and so does the number of female employees in Unisa, amidst the transformation agenda to which the university subscribes. The growth is reflected in the five yearly statistics published by DISA (RSA, 2013).

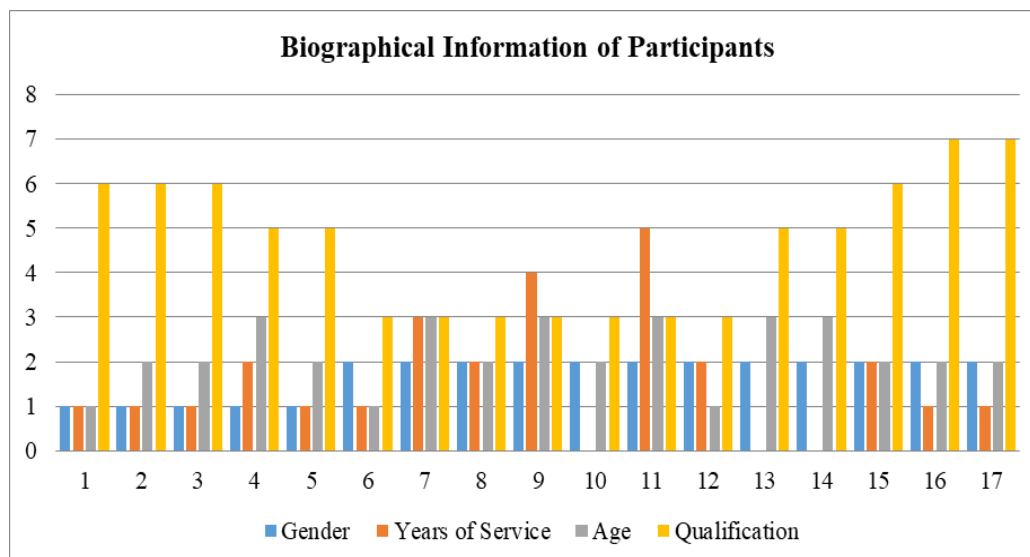


Figure 5.1: Biographical information of participants

The data further reflected the years of service as follows: 60% with less than 20 years of service and 40% between 15 years to 25 years of service. DSAR and the College of Graduate Studies (CGS) are manned by a staff component made up of different generations, i.e. the under 28 years of age are known as Generation Z (Gen Z) (Born Free Generation) in the South African context because they were born under a new democratic dispensation. This generation dominates or is rather in the majority as employees in the institutions of higher learning. The Gen Z is followed by the under 40 years of age, referred to as Generation Y (Gen Y) or the millennials, who are relevant to today's world as they grew up in a digital environment. This is followed by those under 55 years, also referred to as Generation X (Gen X). This is a transition-phase generation from written knowledge to digital knowledge (Kopelman et al., 2008:255).

Generations Z and Y, respectively, dominate and so does the female contingent, reflected in the Table 5.1. PM should be made easier to implement as these generations are knowledgeable and technology-driven, accepting of change and an asset to the institution, unlike Generation X, which is generally challenged by the digital knowledge and prefers the "old school of thoughts" way of doing things, is self-centred, not keen to hand down skills and knowledge, and is generally resistant to change, which is a risk to the institution. The generational differences affect the functioning of institutions, and there is therefore a need to guide the equitable and effective management of diverse institutions and staff members. The data also revealed the employment capacity as three (3) administrative assistant officers, on post grade 10, three (3) administrative officers on post grade 9, and six (6) student advisors on post grade 8. Five (5)

supervisors on post grade 7 with bachelor's degrees completed the questionnaire. Two (2) of the respondents have Honours, No Master's or Doctoral qualification.

From the information gathered it is clear the workforce of DSAR and PGAD is relatively young, in their mid-thirties and forties. The employees are well-educated and have a service history that indicates that they have been with Unisa on average for more than 10 years. There are content theories that seek to suggest and stress their premise on the fact that individuals are motivated in order to increase their job performance in organisations, by themselves striving to satisfy certain needs, by entering into a contract with the employer to exhibit certain behaviours and exert certain efforts to assist the enterprise in reaching its set goals.

5.4 PERFORMANCE APPRAISAL

This section consisted of 10 questions pertaining to the views and experiences of the individual respondents. The five-point Likert rating scale was used to evaluate the respondent's responses.

Respondents were asked to rate their responses on a five-point Likert scale, where 1 = strongly disagree, 2 = disagree, 3 = uncertain, 4 = agree and 5 = strongly agree. The respondents indicated the extent to which they agree or disagree with the statements. "Strongly disagree", "Disagree", "Uncertain", "Agree" and "Strongly Agree". The negative responses of "Strongly Disagree" and "Disagree" were grouped together and the same was done with the positive responses of "Strongly Agree" and "Agree". The "Uncertain" statement remained the same.

The first question was to determine the expectations and performance standards outlined by IPMS.

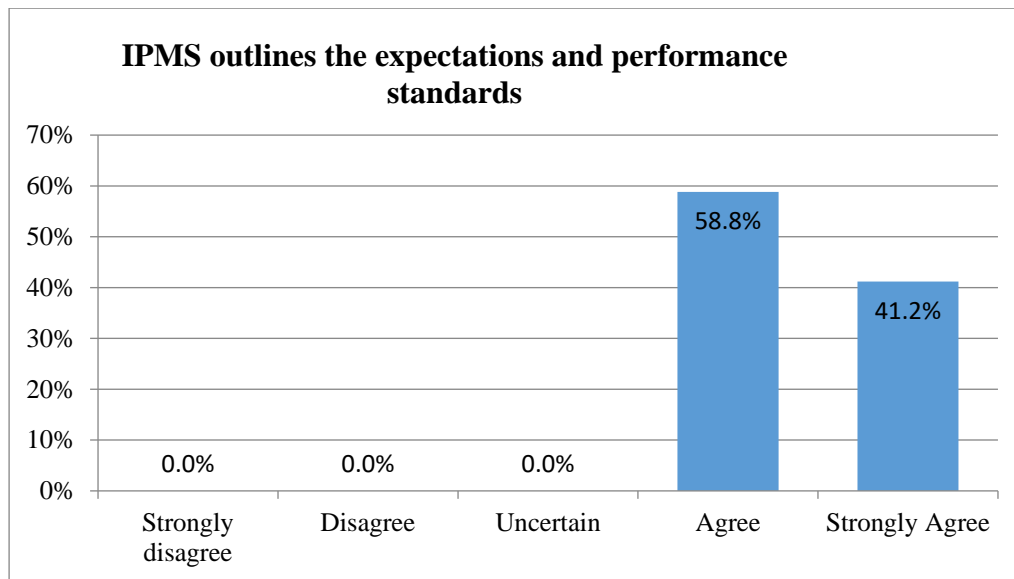


Figure 5.2: IPMS outlines the expectations and performance standards

Figure 5.2 reflects that 58.8% of the respondents indicated that they strongly agreed with this statement, while the remaining 41.2% indicated that they agreed with this statement. The results mean employees are aware of what is expected of them in terms of performance and align themselves with the stipulated performance standards put forward, a thought supported by Arnolds and Boshoff (2015:53), where they state that the motivation is advanced to understand and enhance job performance. There are content theories that seek to suggest and stress their premise on the fact that individuals are motivated to increase their job performance in the organisations and institutions by themselves, by adhering to expectations (Tosi et al., 1994:228).

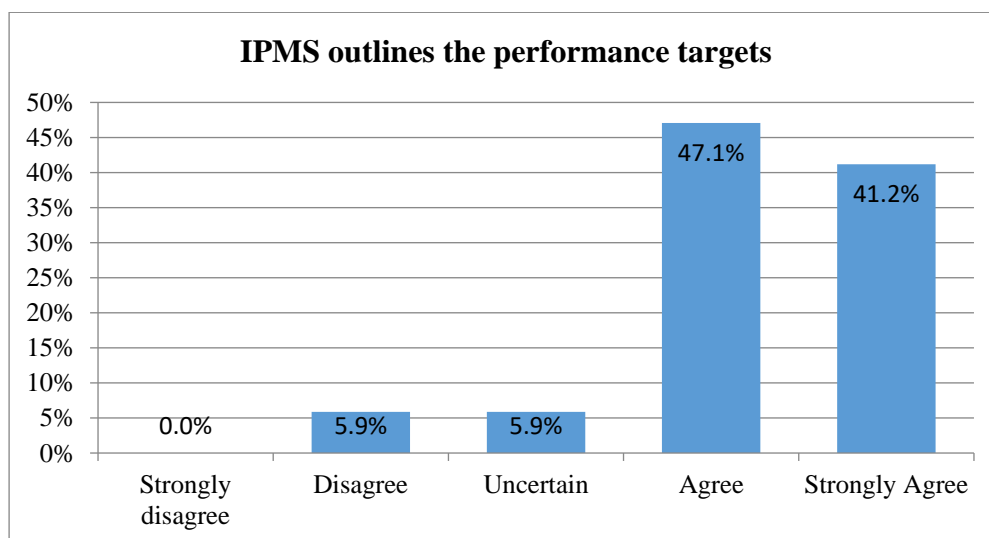


Figure 5.3: IPMS outlines the performance targets

Figure 5.3 illustrates the response to performance targets. The responses were captured as follows: 41.2% of the respondents strongly agreed with this statement, 47% agreed with the statements, and 5.9% indicated that they were uncertain or disagreed with the statement. This shows that the administrators and student advisors in both the administrative departments are embracing the performance targets set during the performance agreement discussions. This is underscored by Maslow's hierarchy of needs that stresses self-esteem and self-actualisation, which represent an individual's desire to become everything they can become, to realise and use their full potential, capacities and talents to achieve predetermined performance targets (Soper et al., 1995:78).

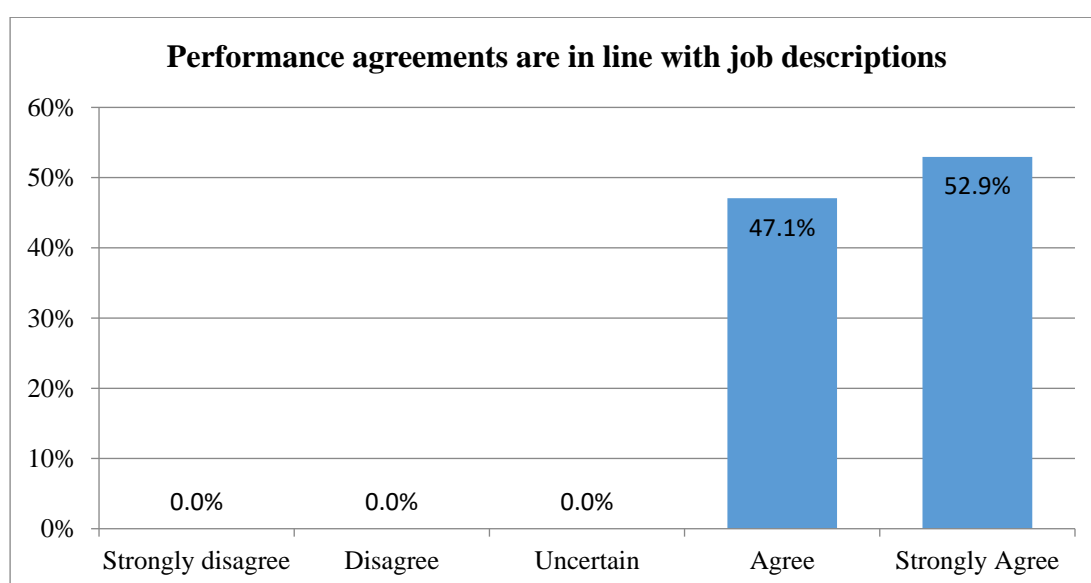


Figure 5.4: Performance agreements are in line with job descriptions

Figure 5.4 depicts that 52.9% of respondents strongly agreed that performance agreements are in line with job descriptions, while 47.1% agree. None of the employees was uncertain or in disagreement, an indication that employees are knowledgeable about the job descriptions. The institution provides employees with job descriptions which outline what the job entails, which constitute a contract that clearly defines the employer's expectations from the employee in line with the university's objectives, targets and mandate. "Safety a feeling staff get when they know no harm will befall them, physically, mentally, or emotionally and security is the feeling people get when their fears and anxieties are low or non-existent" in their work environment (Waitley, 1996:43). This level of needs on Maslow's hierarchical structure of needs is quite important in the work environment, because any element that seeks to intimidate this need will have a negative impact on the performance of the staff in the institution (Jordaan, 2011:28).

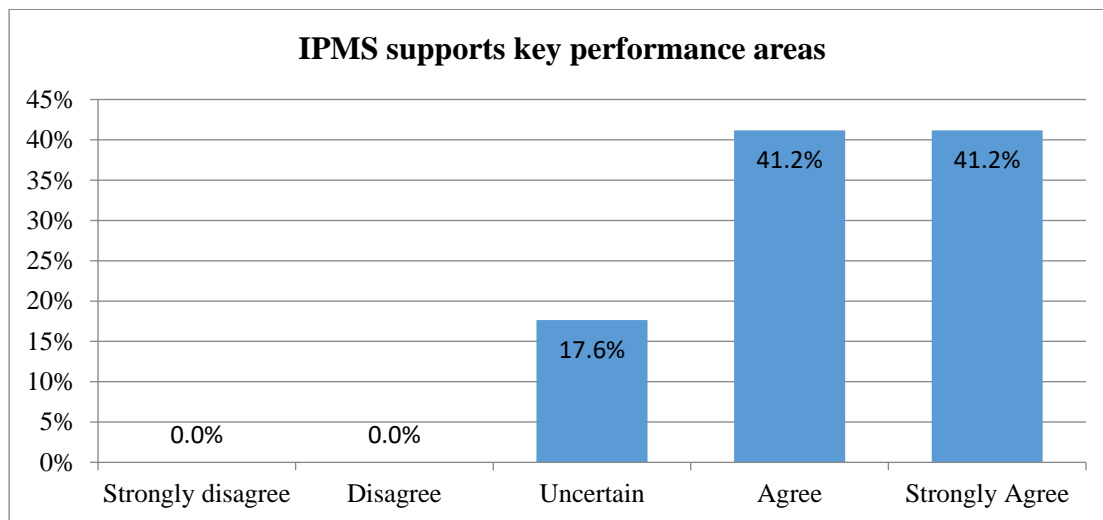


Figure 5.5: IPMS supports key performance areas

Figure 5.5 reflects that 41.2% of the respondents strongly agree that IPMS supports key performance areas, while 41.2% agree and 17.6% are uncertain. This response confirms that the IPMS is crafted around the key performance areas and the commitment from the University is to provide employees with the necessary resources and support to perform their work to the required abilities, or standards. This is in line with the University's performance management policy (Unisa Council, 2013:3), which states that departmental goals must be aligned to the institution's strategic goals for that academic year. Lawler (1970) reports that there is a connection between satisfaction and performance and the finding was that satisfaction is more of an indicator of an employee's motivation to perform tasks to come to work; this means satisfaction is an influential factor in the employee's motivation in order to perform a job effectively, and that performance can influence satisfaction directly under certain conditions.

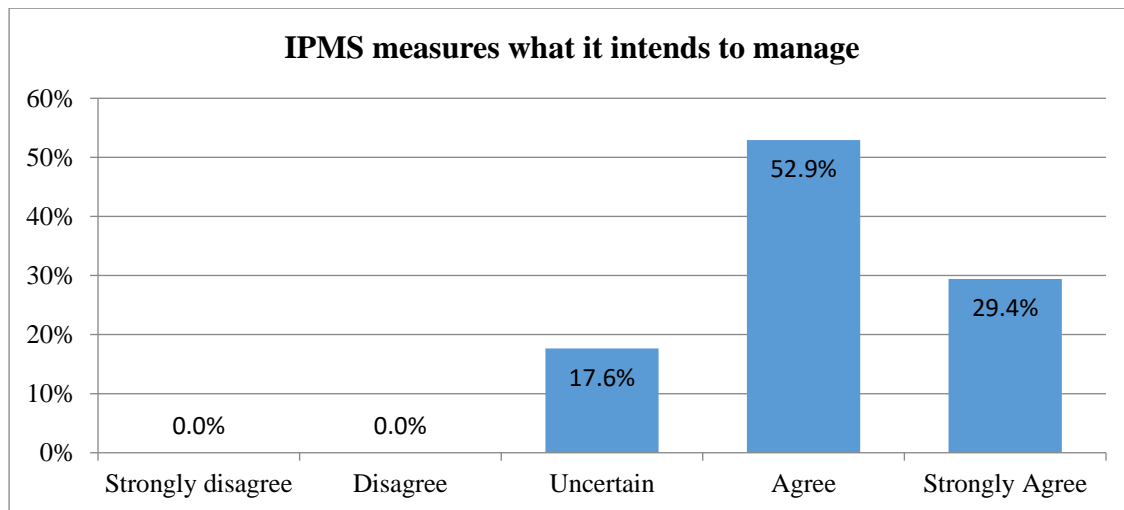


Figure 5.6: IPMS measures what it intends to manage

Figure 5.6 depicts that 29.4% of respondents strongly agree that the IPMS measures what it intends to manage, while 52.9% agree and 17.6% are uncertain. Measurable performance enhances management and commitment. IPMS is not a punitive measure, but is a developmental tool. Mello (2015:60) stipulates that such factors are understood to be achievement, recognition, the work itself, responsibility, and advancement. During performance management, there is less emphasis on ratings and rankings, therefore crucial conversations between managers, supervisors and subordinates are important for performance issues to emphasise a growth mind set.

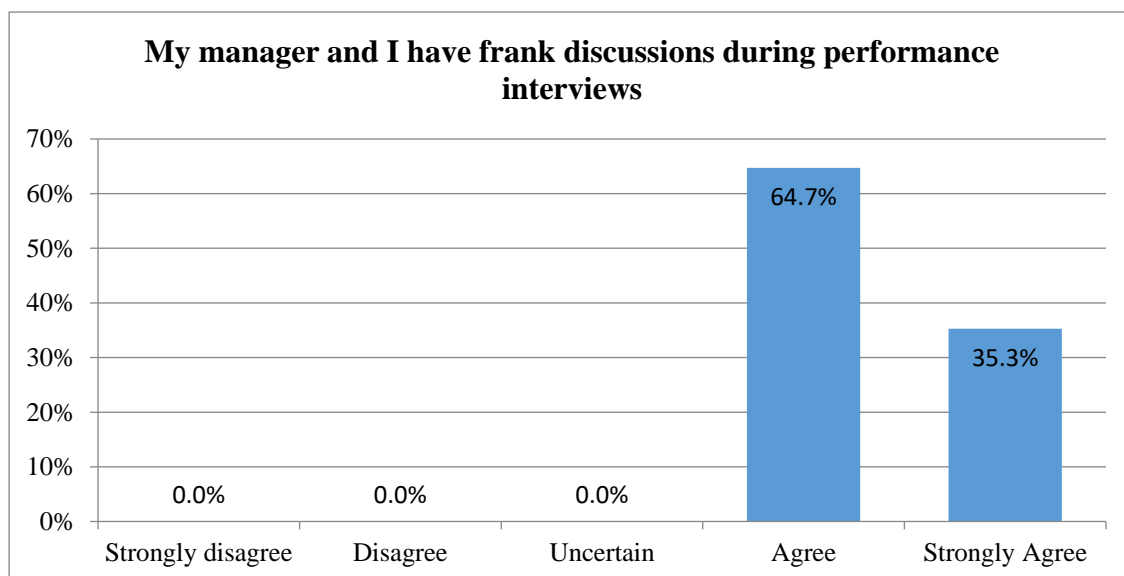


Figure 5.7: My manager and I have frank discussions during performance interviews

Figure 5.7 shows that 35.3% of respondents strongly agree that their managers have frank discussions with them during performance interviews, while 64.7% agree with this statement. Communication serves as a tool to engage and understand challenges, success and achievements in and around performance. There are performance factors that have an impact on performance ratings, causing inaccuracies in what determines a true reflection of performance. Management of performance can also be applied to building a workplace culture that encourages feedback and discussion in an open and supportive environment, building a credible performance management system, supporting practices such as managing underperformance, and recognising and rewarding good performance (Nelson and Quick, 2011:265).

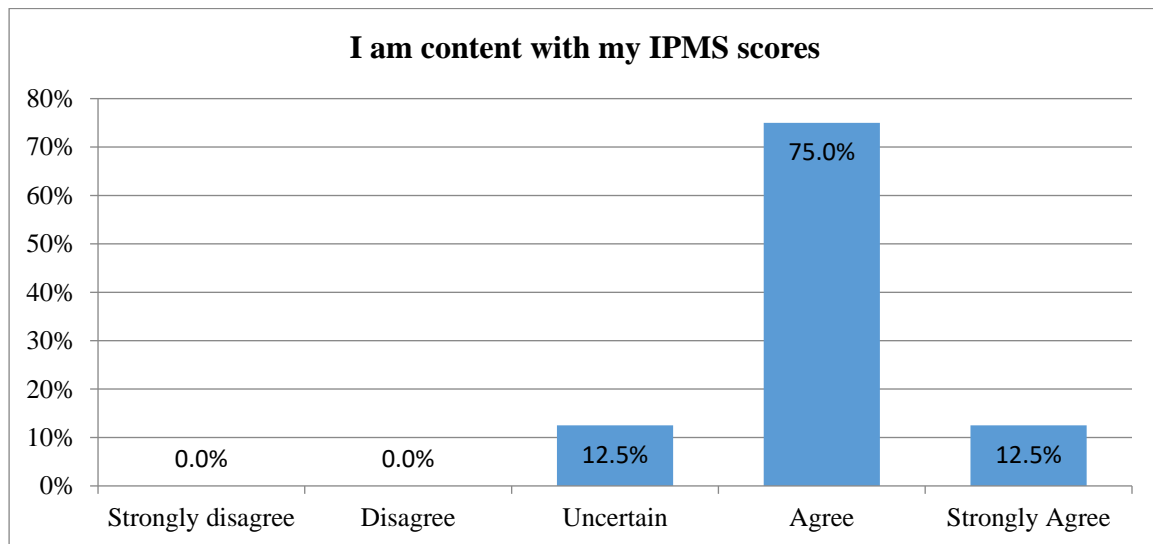


Figure 5.8: *I am content with my IPMS scores*

Figure 5.8 portrays that 12.5% of respondents strongly agree that they are content with their allocated IPMS scores, while 75.0% agree and 12.5% are uncertain. The graph illustrates that the employee and the manager are in agreement with the scores the employee has given themselves and what the line manager allocated. Stephens (2005:276) states that the purpose of performance management is to get better results from the organisation, teams and individuals, by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements.

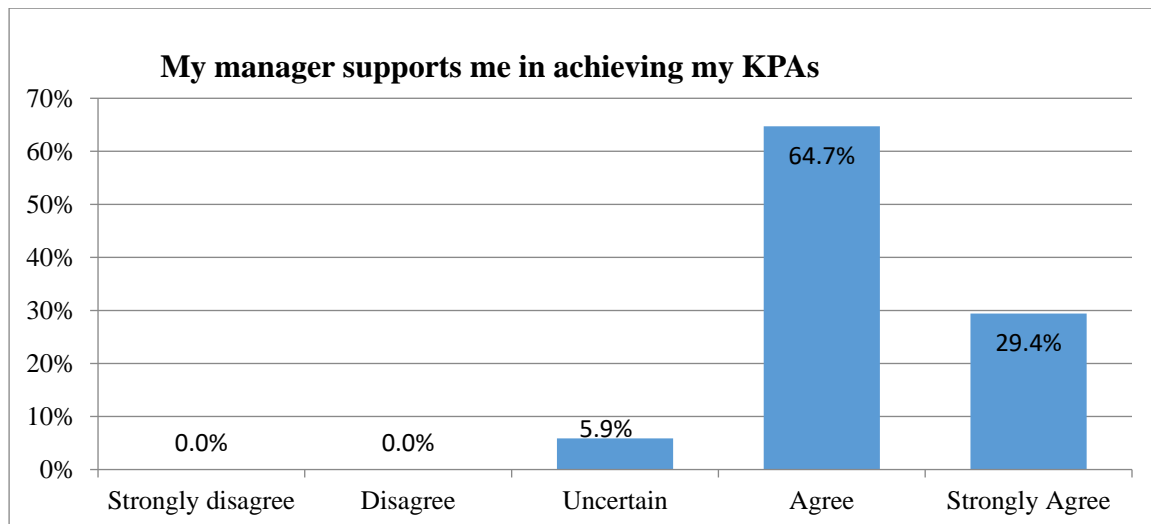


Figure 5.9: My manager supports me in achieving my KPAs

Figure 5.9 shows that 29.4% of respondents strongly agree that their manager supports employees in achieving their KPAs, while 64.7% agree and 5.9% of employees were uncertain. Employees yield good results on both a personal and organisational level, when working together with their line managers and are capable of providing solutions and suggestions to problems that confront the organisation. Promoting excellence through institutional planning and performance management is one of the focus areas of the institution, therefore relevant KPAs in line with the institutional objectives are supported by managers, who ensures effective strategy execution through clear and streamlined policies, procedures, processes and systems investment (Nel et al., 2005:294).

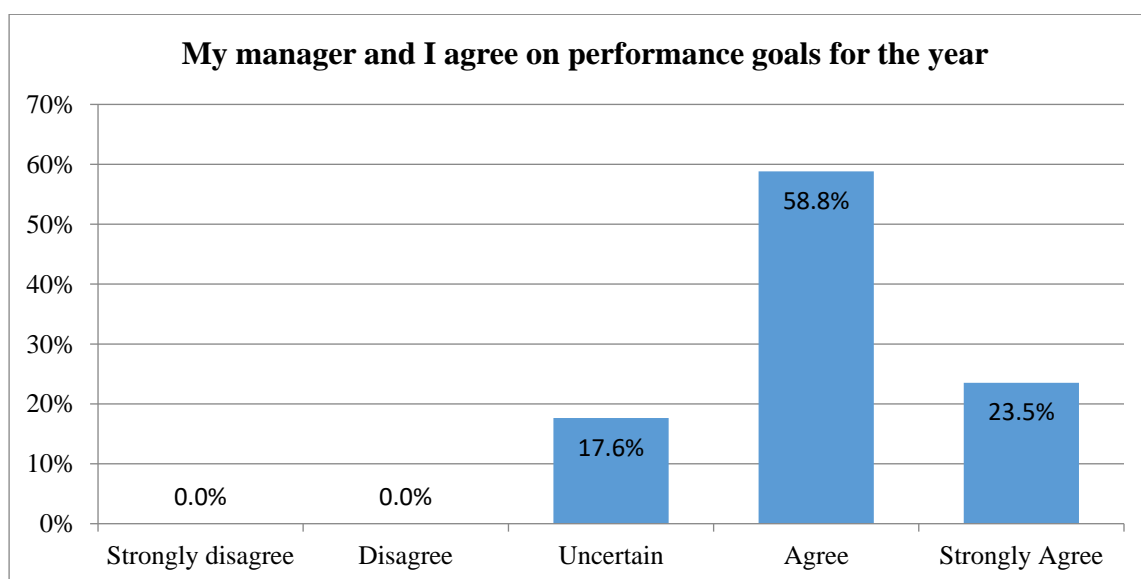


Figure 5.10: My manager and I agree on performance goals for the year

Figure 5.10 illustrates that 23.6% of respondents strongly agree that there is an agreement between them and their managers on performance goals to be achieved for the year, while 58.8% agree with the statement and 17.6% are uncertain. This means that employees are the main performers and essential to the successful achievement of the institutional goals, because in today's competitive environment, an institution or organisation cannot afford to have underperformers or neglect to manage underperformance. The Y theory of McGregor's X and Y theory provides for objectives and rewards and the opportunity to participate in decision-making, personal and organisational goals simultaneously. This means organisational leaders have a responsibility to ensure that the staff is committed to the organisation's deliverables, timelines, and goals, among others (Kopelman et al., 2008:255).

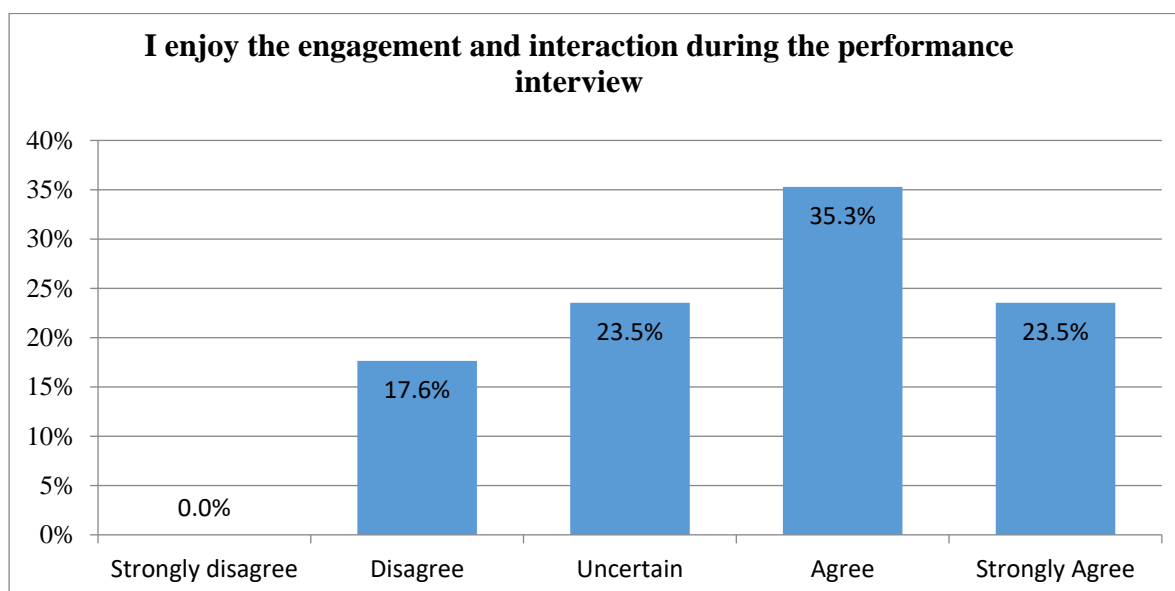


Figure 5.11: I enjoy the engagement and interaction during the performance interview

Figure 5.11 illustrates that 23.5% of respondents strongly agree that there are engagement and interaction between them and their supervisors during the performance interview, while 35.3% agree, 23.5% are uncertain, and 17.6% disagree. It confirms that communication between the supervisors and subordinates is important. This is supported by Van der Westhuizen (2016:29-30), who also refers to Henry Fayol's theory that a simple model of how management interacts with personnel is considered a relevant guide to managing staff productively.

From the above discussion it is clear that in the University of South Africa performance management, especially in DSAR and PGAD, is implemented in phases to ensure what is expected from the employee for the year in relation to performance and development is

understood. To plan and control production on how well the employee is progressing in relation to performance and development throughout the year, as well as working towards the achievement of their career aspirations, there has to be planning, as well as management processes, setting of goals and the optimum realisation of objectives and organising. Management must make resources available and enable personnel to execute the expected tasks and reach the set goals.

5.5 MANAGEMENT OF IPMS

This section also consisted of 10 questions pertaining to the views and experiences of the individual respondents. Respondents were asked to rate their responses on a five-point Likert scale, where 1 = Strongly Disagree, 2 = Disagree, 3= Uncertain, 4 = Agree, and 5 = Strongly Agree. The responses to each of the 10 questions contained in Section C are given in the following graphs.

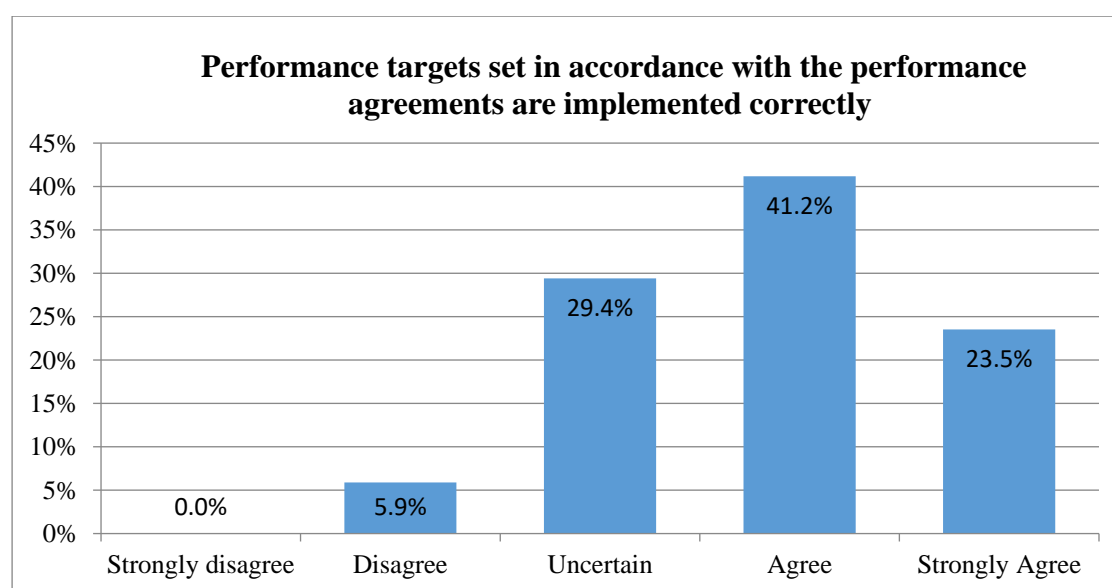


Figure 5.12: Performance targets set in accordance with the performance agreements are implemented correctly

Figure 5.12 illustrates that 23.5% of the respondents strongly agree that performance targets set in accordance with the performance agreements are implemented correctly, while 41.2% agree, 29.4% are uncertain, and 5.9% disagree. This resulted from the imminent change in the set targets, because these are guided by the offerings and other circumstances in and around the processes that govern student administration. Setting of targets is a process, including the

clarification of performance expectations, agreement on resource requirements, regular feedback and assessment, focused training and development, early identification of performance problems, and appropriate recognition for performance excellence (Unisa Council, 2013:4).

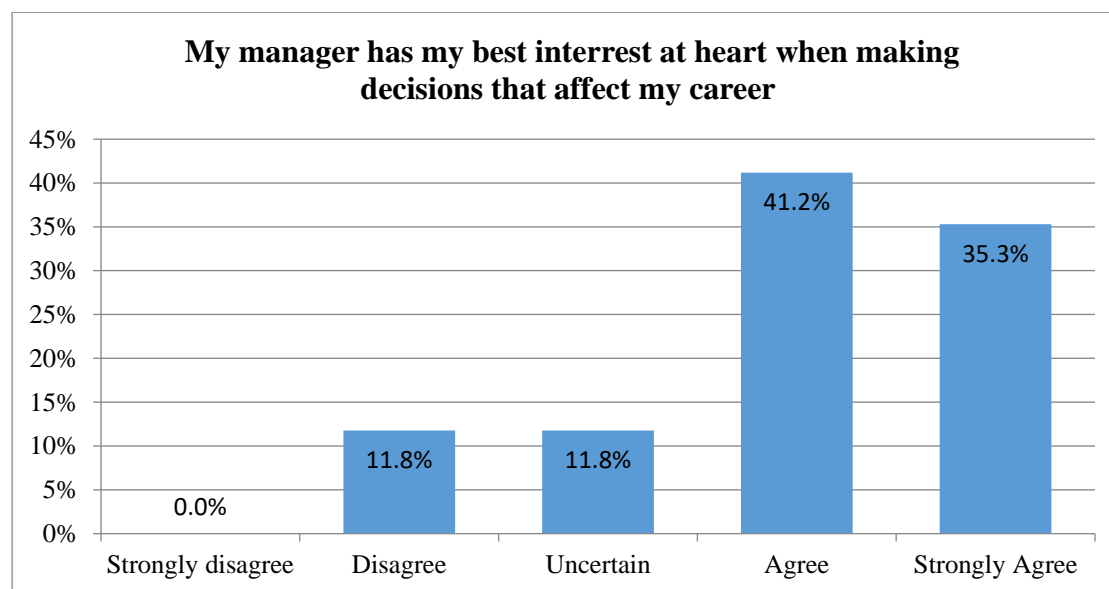


Figure 5.13: My manager has my best interest at heart when making decisions that affect my career

Figure 5.13 shows that 35.3% of respondents strongly agree that their managers have their best interest at heart when making decisions that affect their careers, while 41.2% agree, 11.8% are uncertain, and 11.8% disagree. Management is faced with a responsibility of coaching, and this coaching is a process of a values-based and developmental approach to performance. Performance conversations are linked to career growth, to promote continuous learning and performance improvement as well as growth. The equity theory rests its interests in the comparison of the next person, hence Tosi et al. (1994:231) provides that the equity theory, unlike other theories that explain motivation through intrapersonal comparison such as what have I achieved at the moment as compared to what I would like to achieve in the future, is a challenge with managing underperformance, as many managers are not equipped with the skills to conduct difficult conversations in a productive way.

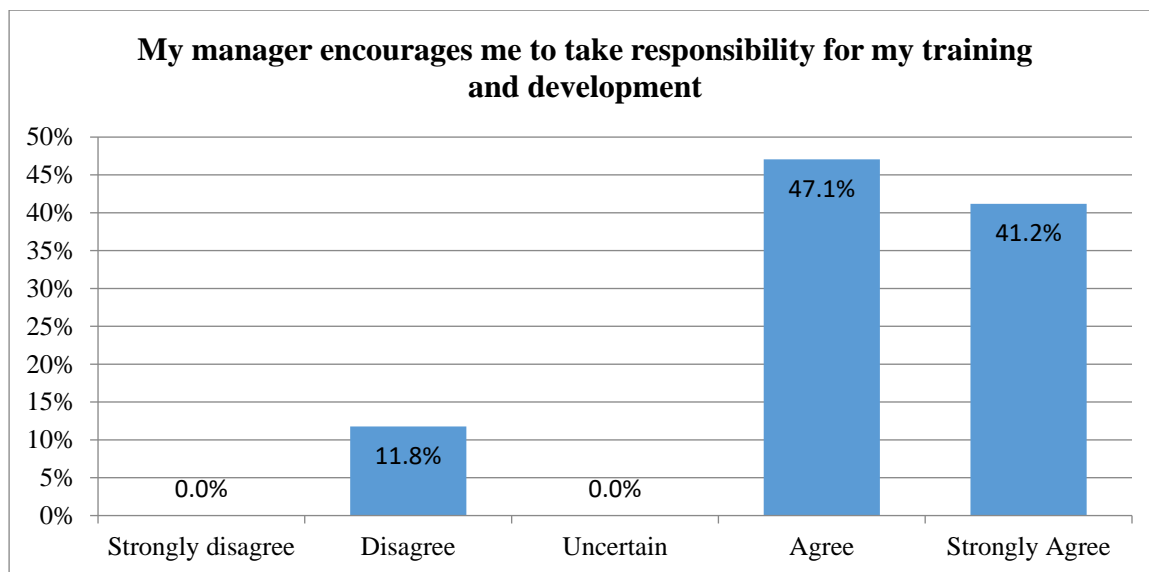


Figure 5.14: My manager encourages me to take responsibility for my training and development

Figure 5.14 portrays that 41.2% of respondents strongly agree that their managers encourage them to take responsibility for their training and development, while 47.1% agree and 11.8% disagree. In organisations and institutions there is an inspiring vision, a compelling strategy, and a competent and inspiring leadership team that ensures effective strategy execution by means of talented people who are engaged and enabled to perform through clear and streamlined policies, procedures, processes and systems. Managers in the administrative departments are expected to encourage employees to progress in relation to performance and development throughout the year, as well as to ensure that the employee works towards the achievement of their career aspirations to have a satisfied staff component and curb job dissatisfaction indicators, which range from the wage disputes leading to strike actions and go-slows, which may very well affect the staff's performance in the wellbeing of the organisation, as put forward by Herzberg's two-factor theory (Shipley and Kiely, 1986:70).

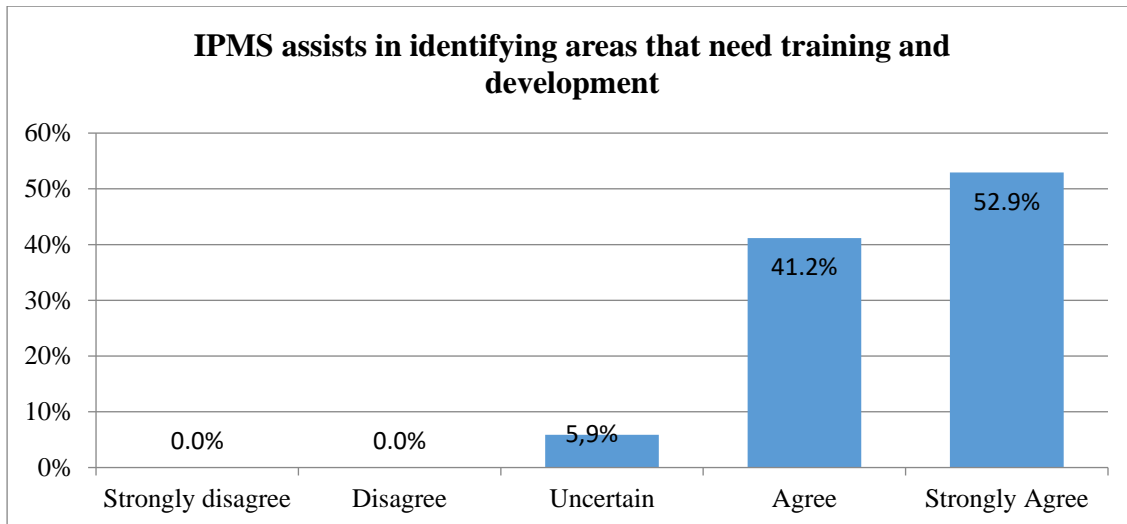


Figure 5.15: IPMS assists in identifying areas that need training or development

Figure 5.15 shows that 52.9% of respondents strongly agree that IPMS assists in identifying areas that need training or development, while 41.2% agree, and 5.9% are uncertain. This indicates that the majority of employees are made aware of their deficiencies by performance management and receive training and development to enhance the employees. This is supported by Shipley and Kiely (1986:70), who commented about the Herzberg's two-factor theory and said the two-factor theory is important and useful for the global human resource development in all economic spheres, one of the focus points of the IPMS, particularly in performance management trends, where coaching feedback is preferred as opposed to critical feedback.

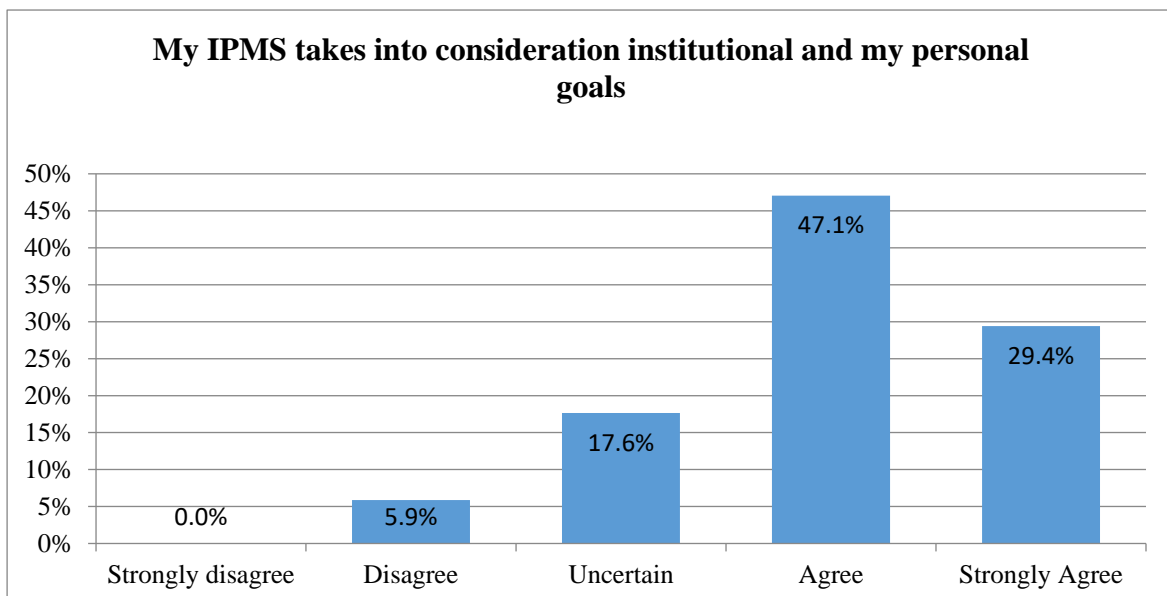


Figure 5.16: My IPMS takes into consideration institutional and my personal goals

Figure 5.16 portrays that 29.4% of respondents strongly agree that their IPMS takes into consideration institutional and individual goals, while 47.1% agree, 17.6% are uncertain, and 5.9% disagree. The need for achieving personal goals can play a major role in ensuring motivation in employees. This vests its focus on the new management style, namely that managers should not focus on commanding their subordinates, but should rather provide opportunities and offer assistance to subordinates in order for them to reach their full potential. This is underscored by Kopelman et al. (2008:255), who claim that hygiene factors that affect job satisfaction are divided into two categories: hygiene factors that surround the doing of the job, which include supervision, interpersonal relations, physical working conditions, salary, company policy and administration, benefits, and job security that contribute to job satisfaction.

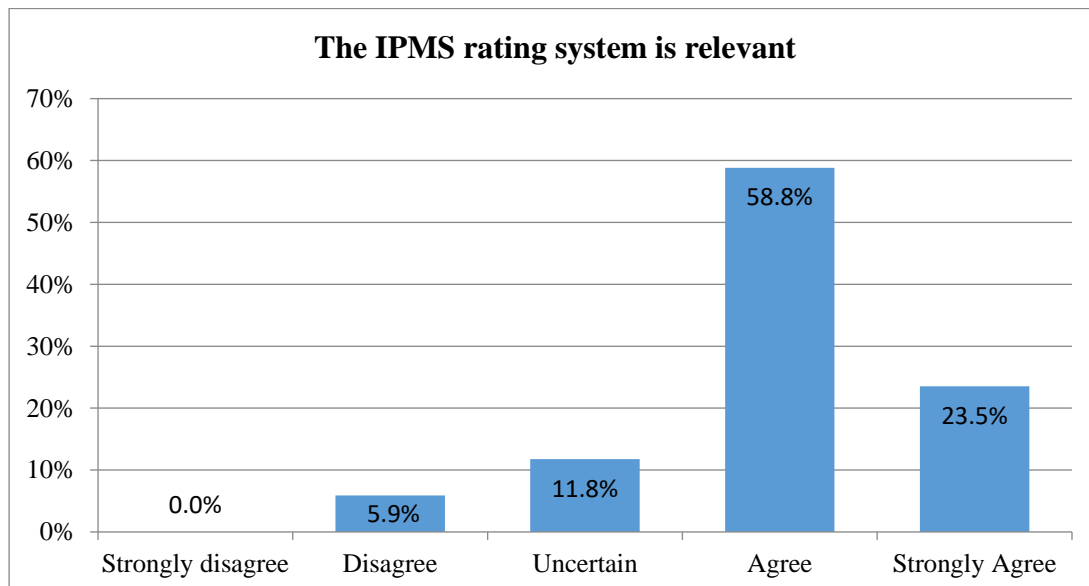


Figure 5.17: The IPMS rating system is relevant

Figure 5.17 shows the response as that 23.5% of respondents strongly agreed that the IPMS rating system is relevant, while 58.8% agreed, 11.8% were uncertain, and 5.9% disagree with the statement. The purpose of the policy is to provide a systematic process for managing the cycle of events associated with ensuring that individual employees achieve their agreed performance outcomes, a relevant policy to monitor the expectancy theory, which stresses and focuses on outcome. Unisa focuses on rating performance, which is the outcome, i.e. better performance based on individual factors such as personality, skills, knowledge, experience and abilities equal adequate or even higher rewards and the benchmark of the IPMS rating system, and a team approach to creating an enabling and empowering working environment conducive to high performance (Jordaan, 2011:29).

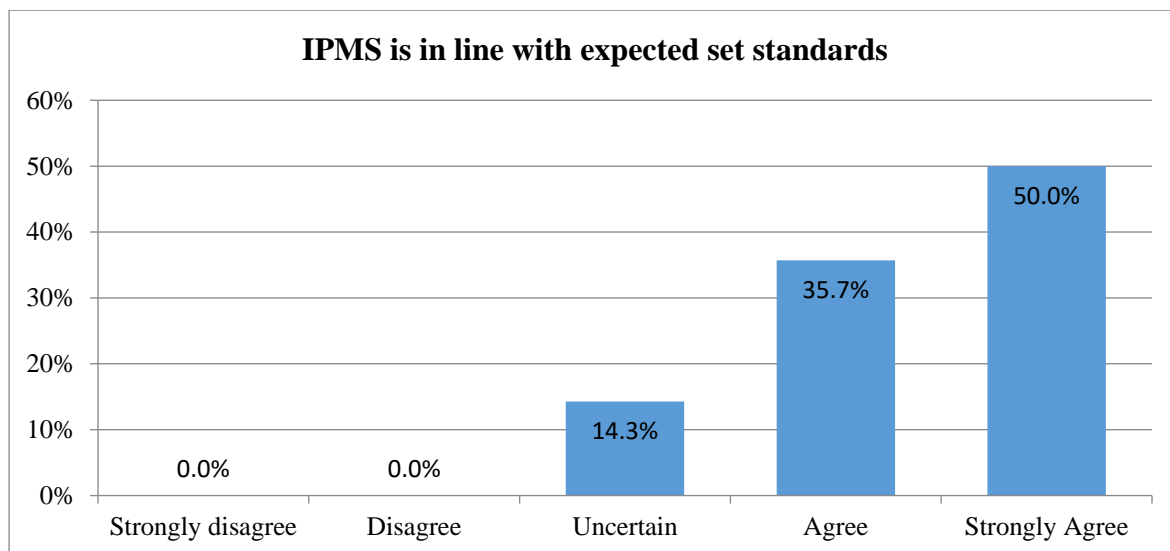


Figure 5.18: IPMS is in line with expected set standards

Figure 5.18 illustrates that 50.0% of respondents strongly agree that IPMS is in line with expected set standards, while 35.7% agree, and 14.3% are uncertain. Performance standards are derived from the day-to-day operations, hence they are in line with the performance management system. Within Unisa, IPMS is used primarily as a mechanism to translate the institutional objectives, measures and targets in Unisa’s multi-year plans into performance expectations for individual employees and to assist employees in achieving these expected standards, a process of continuous monitoring, review and improvement (Unisa Council, 2013:2).

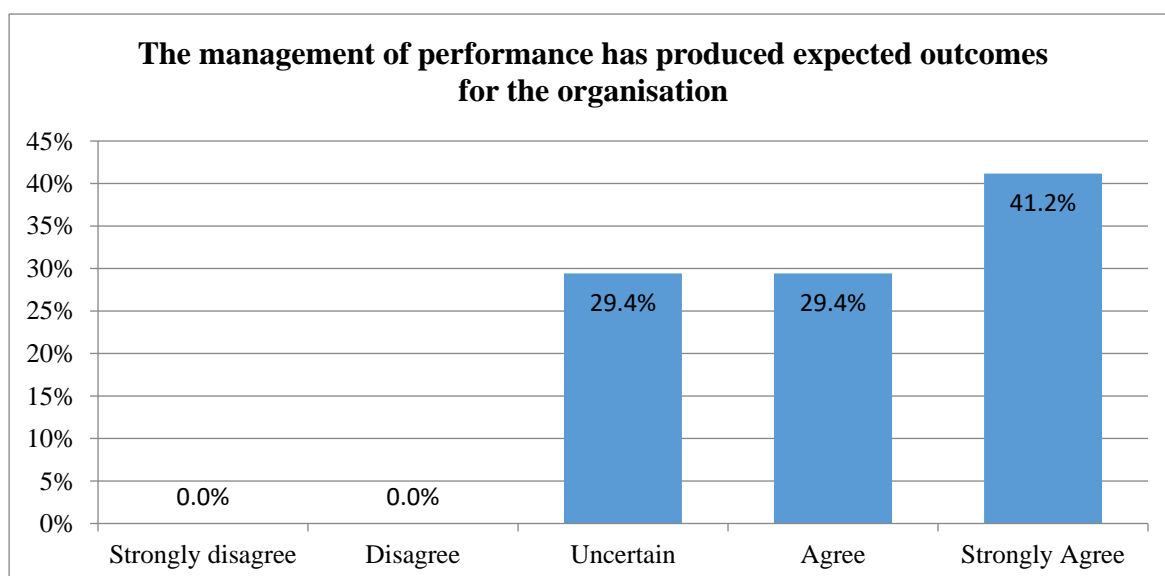


Figure 5.19: The management of performance has produced expected outcomes for the organisation

Figure 5.19 illustrates the response of 41.2% respondents strongly agreeing that the management of performance has produced expected outcomes for the organisation, while 29.4% agree, and another 29.4% are uncertain. Monitoring and managing performance yield expected results, especially if the outcomes and goals of the organisation are clearly stipulated. The intensity of an expectation that the performance will be followed by a definite outcome to the individual, i.e. better performance based on individual factors such as personality, skills, knowledge, experience and abilities, equal adequate or even higher reward. Tosi et al. (1994:228) provide that the basic premise of the expectancy theory is that an individual will expend efforts in order to do things that will lead towards the desired outcomes.

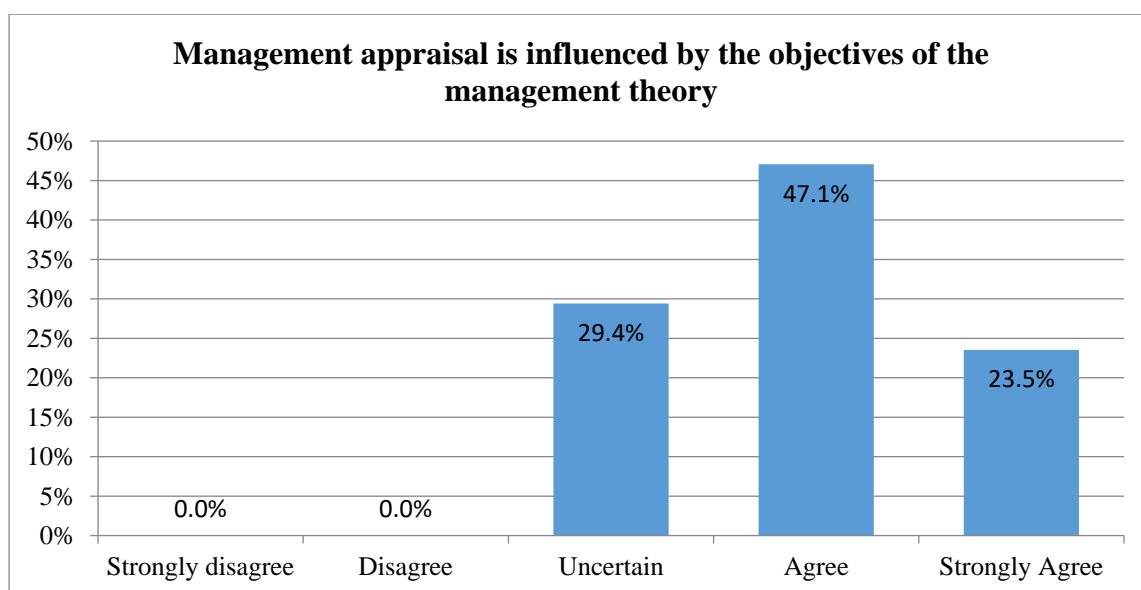


Figure 5.20: Management appraisal is influenced by the objectives of the management theory

Figure 5.20 reflects that 23.5% of respondents strongly agree that management appraisal is influenced by the objectives of the management theory, while 47.1% agree and 29.4% are uncertain. The management of performance is paramount, because failure to manage performance might potentially have a negative impact on the way the organisation operates. Therefore, in managing performance in DSAR and PGAD, the management cohort should implement the objectives set out by the management theory, summarily encouraging staff, stating that successful management can yield good result for both the organisation and the individual. According to Kopelman et al. (2008:256), successful management of this phase can yield good results for both the personal and organisational level respectively.

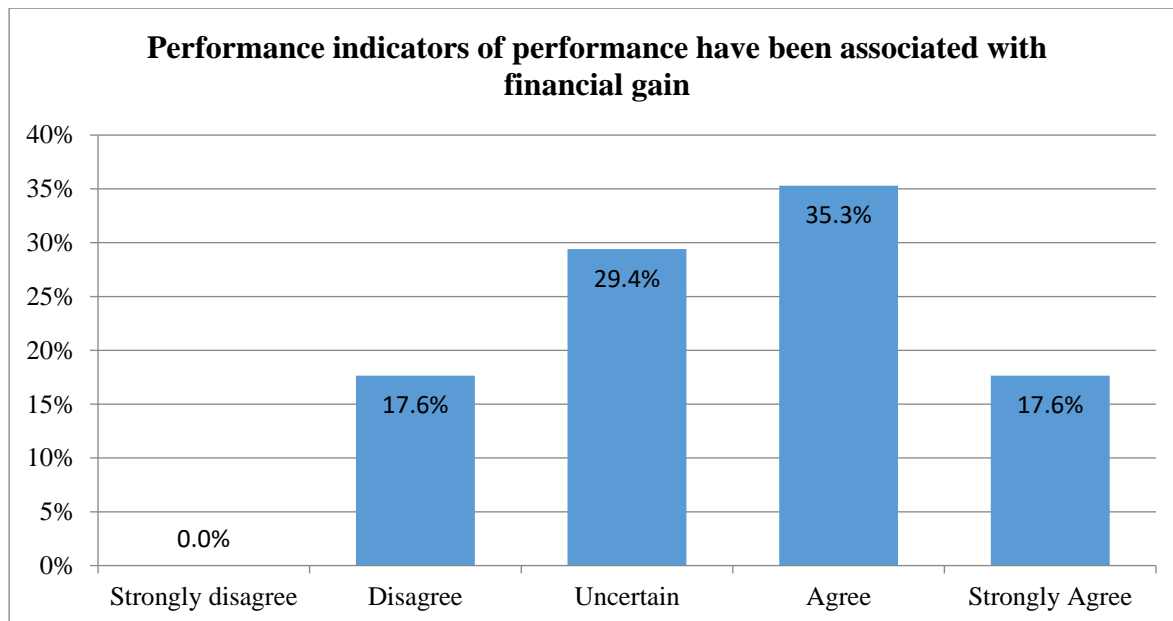


Figure 5.21: Performance indicators of performance have been associated with financial gain

Figure 5.21 illustrates that 17.6% of respondents strongly agree that performance indicators are associated with financial rewards, while 35.3% agree, 29.4% are uncertain, and 17.6% disagree. A misunderstanding of the purpose of performance reviews exists in administrative departments in the university, whereby it is perceived that performance is attached to monetary value presented in the form of performance bonuses, and not as an indication of performance or in line with the support of the operational plan of the institution. One of the other reasons for that is that the performance review phase is heavily unionised, overcrowding the management intentions and judgement. The IPMS rating system is used as a tool to measure the outcome of how much an individual expects as a reward.

From the above discussion it is clear that the research conducted into performance reveals that targets set in the performance agreements are in line with the job descriptions and drivers that contribute to the employees' success. Unisa expects each employee to sign a performance agreement at the beginning of each year as a source document that stipulates expected operations. This performance agreement (PA) is used at mid-year and year-end to conduct reviews assessing the staff's performance, in line with the set targets and goals of the department, and that of the university. The PA serves as a job guarantee, and an information document spelling out what is expected by the employer from the employee and vice versa.

5.6 INTERVIEWS

Face-to-face interviews were conducted with the management as they are responsible for managing, reviewing and evaluating the staff in their respective sections and teams. Interviews remain popular because they afford an opportunity for the interviewer and interviewee to meet and exchange information, face to face. In this instance the researcher was afforded the opportunity to ask questions and gather information in a relatively unsystematic manner, to obtain responses on the implementation of the IPMS Policy, performance agreements, performance reviews, employment contracts and employment conditions.

Interviews were held with five (5) supervisors (post grade 7) and five (5) managers (post grade 6). These interviewees were requested to provide information regarding their gender, population group, age, departments in which they are employed, age, highest qualification, capacity of employment and years' service. Ten (10) interviews were conducted with officials of the University, either telephonically or in person, safeguarding their anonymity. A predetermined set of questions was asked of the respondents, with further probing where the researcher felt that additional information was needed or clarification of what was given as a response. Section A of the questions dealt with biographical information of the respondents. Section B explored individual views and experiences of performance appraisal in the University of South Africa. Section C dealt with the experiences of respondents as managers and supervisors responsible for implementing IPMS. The complete list of the interview questions is attached as **Annexure C**.

5.6.1 Biographical information

As in the previous section of the research, the study provided biographical data of the respondents regarding their gender, population group, age, current appointment status, highest qualification, capacity of employment, and years' of service. The data collected is represented in the table below. Numbers are used to indicate the variable information in each category, namely age, years of service, and qualifications. Data collected is categorised under male and female.

Table 5.2: Biographical information of participants - interviews

Biographical Details		Male	Female
Years of Service	1. 0-5		1
	2. 6-10	1	1

	3. 11-15		1
	4. 16-20		2
	5. 21+	3	
Age	1. 18-27		
	2. 28-40	1	1
	3. 41-56	2	5
	4. 57-70	1	
Highest qualification	1. Doctorate		
	2. Master's degree	1	
	3. Honour's degree	1	1
	4. Postgraduate Diploma		1
	5. Bachelor's degree		
	6. Diploma/Certificate		5
	7. Matric/Grade 12	2	

5.7 PERFORMANCE APPRAISAL

This section focuses on the experience between managers and subordinates on the management of IPMS. It has five (5) questions. The interviewer asks these questions of the respondents to establish their views and understanding, as well as their experience pertaining to performance appraisal.

Question 1: Do you understand how to implement the IPMS Policy? *Are the guidelines clear?*

Responses: The overwhelming majority, 90% of interviewees, said yes, while 10% said no.

The general response was: *“Yes, I think I do understand how to implement the IPMS Policy, because the guidelines are clear.”* It is obvious that the majority of the interviewees have knowledge and understand how the IPMS system functions. There are also indicating factors to assist employees with implementation, which influence performance ratings, namely conscientiousness, agreeableness, organisational norms and performance appraisal experience (Spence and Keeping, 2010:318, 587).

Question 2: Does IPMS measure the stipulated performance standards?

Responses: 40% of interviewees said yes, while 20% said no, and 40% are uncertain.

The general response was: *“Yes, performance standards are stipulated because it goes along with the job description. Those are the duties that one does every day, and they are aligned.”* It is important for institutions and organisations to perform to the best of their abilities, hence the existence of appropriate policies and procedures, as well as clear performance standards, in line with their performance agreements, in writing, within institutions to ensure delivery (Jordaan, 2011:29).

Question 3: Is your performance measured in line with the institutional and your personal goals?

Responses: The majority, 60% of interviewees, said yes, while 30% said no.

The general response was: Yes, “*because the institutional goals inform personal goals to enable career growth*”, there should be a clear distinction between the individual and institutional goals, to determine what serves to enhance performance. Suitable and appropriate management practices, such as providing objectives and rewards and the opportunity to participate in decision-making, personal and organisational goals, can simultaneously be realised or become a reality (Kopelman et al., 2008:256).

Question 4: Are the IPMS ratings in line to assess performance? The ratings that are given, do you think they assist performance?

Responses: A 60% majority responded with a yes, while 20% said no, and another 20% are uncertain.

The general response was: Yes, “*the ratings assess performance and assist performance by encouraging staff to perform more to achieve*”. In managing performance, employee performance should be measured. Armstrong and Stephens (2005:275-278) state that the purpose of performance management is to get better results from the organisation, teams and individuals, by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements.

Question 5: Does performance management encourage performance?

Responses: The majority, 60% of interviewees, said yes, while 20% said no and 20% are uncertain.

The general response was: “Yes, “*because it is common knowledge that when you are not performing your duties and responsibilities you are rated low, encourage you to work hard so that you get higher ratings*”. Performance is the key to both the employee and employer to obtain what they need. There are underperformance factors, as well as individual differences, which influence performance ratings, e.g. conscientiousness, agreeableness, organisational norms and performance appraisal experiences (Spence and Keeping, 2010:587).

5.8 KNOWLEDGE MANAGEMENT

Focus in this section is to establish the knowledge management concept in the institution, in driving the institution to achieve its mandate.

Question 1: What does IPMS policy mean to you as an advisor?

Response: A majority of 60% of interviewees said yes, while 40% said no.

The general response was: Yes, *“because there should be an understanding of the IPMS policy, to aid interpretation and implementation of the institutional objectives, and measures and targets”*. To manage performance, employee(s) performance is planned, executed and assessed, in line with the agreed performance agreements extracted from the job descriptions (Unisa Council, 2013:3).

Question 2: Are KPAs stipulated in the job descriptions aligned with the IPMS policy?

Responses: An overwhelming 80% of interviewees said yes, while 10% said no and 10% were uncertain.

The general response was: Yes, *“because there is a performance agreement that needs to be completed and that performance agreement is aligned with the job description. So obviously when it comes to the middle of the year assessments as well as at year end, that’s where the KPAs are evaluated”*. Performance evaluation, in many if not all cases, serves as an effective way to determine employees' abilities to perform certain duties successfully and to identify training needs. Within Unisa, the current challenges facing the IPMS process is the lack of institutional performance monitoring and evaluation, as well as the absence of standardised and approved operational plans and scorecards in colleges and support departments against which to correlate individual performance (Unisa Council, 2013:3).

Question 3: Does the IPMS Policy assist in managing performance?

Responses: The majority, 60% of interviewees, said yes, while 20% said no and 20% are uncertain.

The general response was: Yes, *“the policy does provide guidelines on what is to be managed, and how to enhance performance”*. The Unisa Council (2008:2) states that the policy provides a systematic process for managing the cycle of events associated with ensuring that individual employees achieve their agreed performance outcome.

Question 4: Are the targets set measurable?

Responses: 40% of interviewees said yes, while 20% said no and 30% are uncertain.

The general response was: Yes, *“because targets are meant to be practical and possible”*.

There is the actual, measurable cost of lost production, the cost of correcting mistakes, increased overtime, and administrative costs, time spent managing the problem (Jordaan, 2011:28).

Question 5: IPMS measures skills and competencies to do the job?

Responses: The overwhelming majority, 90% of interviewees said yes, while 10% said no.

The general response was: Yes, *“because as persons in employment, we differ, we have different skills, competencies, knowledge and experience as staff members”*. The challenge with managing underperformance is that many managers are not equipped with the skills to conduct difficult conversations in a productive way (Jordaan, 2011:29).

From the above discussion it is obvious that the administrative support staff and management cohort need to be thoroughly engaged and refreshed on the contents of the IPMS Policy to ensure understanding, knowledgeable, equipped and skilled employees, who will perform in accordance with the terms and guidelines of the IPMS. It would also allow the management to implement IPMS effectively, without compromise.

5.9 CONCLUSION

To build relationships of collegiality, openness and trust between employees, forge a culture of performance excellence, accountability and stewardship, line managers are to incorporate mentoring, coaching, monitoring and evaluating in regular and honest performance conversations as key elements of performance management. The PA provides exactly the needs that entail job security and affiliation, as well as self-esteem and self-actualisation for the employees as they execute their expected duties, by themselves striving to satisfy certain needs, by entering into a contract with the employer to exhibit certain behaviours and exert certain efforts, teamwork, good morale and performance, and to assist the institution to reach set goals to yield the expected results.

CHAPTER 6: FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

6.1 INTRODUCTION

The previous chapter of this research revealed the analysis and interpretation of the results regarding performance appraisal and the management of the administrative employees of DSAR and PGAD within the University of South Africa respectively. This is Chapter 6, the final chapter of this research, where the researcher concludes the research and at the same time provides an analysis of the findings, as well as recommendations.

6.2 SYNTHESIS OF CHAPTERS

A wide range of literature sources on what performance appraisal is was consulted, examined and explored. The importance of performance appraisal was emphasised, pointing out that performance management is a complex process, especially for the scope of institutional performance of this research.

Chapter 1 of the research focused on the background and motivation of the study, the problem statement, research objectives, delimitations to the research as well as ethical clearance to conduct this study.

Chapter 2 dealt with performance management, presenting views of other authors' input on the subject. The chapter explored performance management, examined the enhancement of performance management to increase institutional effectiveness, including theories that concern performance and the organisational structures and processes. This chapter explored literature around the enhancement of performance management of employees' performance.

Chapter 3 presented the research methodology. The focus of this research was to examine how PM is executed in the administrative departments, DSAR and PGAD respectively, within Unisa. It also aimed to enhance the implementation of the IPMS Policy and to ensure that it is procedural, as well as improving the management of performance among the administrative staff, to ensure that the institution functions effectively and delivers on its mandate.

Chapter 4 presented the case study, namely Unisa's administrative departments, DSAR and PGAD, staff performance, performance reviews and performance management. At Unisa the IPMS is primarily used as a mechanism to translate the institutional objectives, measure targets and attain goals. Performance should be continuous, consistent and conform to the organisation's mission. The IPMS involves performance planning, performance implementation, monitoring and development, performance formative review, and summative performance assessment (Unisa Council, 2008:3). The aforementioned performance processes will seek to examine whether the enhancement of performance management does increase institutional effectiveness, while it is a well-accepted premise that any business concern needs productive employees to produce output of acceptable quality to realise its economic, societal and employee-related goals.

Chapter 5 revealed that the study used descriptive method of research to gather information through the empirical analysis and literature review. The primary sources were derived from interviews and questionnaires, whilst the secondary data was obtained from the literature that is relevant to the questionnaire. The analysis and interpretation of the literature revealed that the enhancement of performance management of employees' performance increases institutional effectiveness. Theories to manage performance are alluded to, while managing performance, employee performance should be measured. This is underscored by Armstrong and Stephens (2005:275-278), who claim that performance management's purpose is to get better results from the organisation, teams and individuals.

Chapter 6 in this instance is the final chapter, providing the findings, recommendations and conclusion.

6.3 RESEARCH FINDINGS

The research revealed through the literature review, discussed in Chapter 2, and the empirical analysis of the data collected from the interviews and questionnaires respectively. Performance appraisal in both the administrative departments of the University of South Africa is an important phenomenon, a strategy directly addressing the mandate of both the administrative departments within the institution. The mandate is to promote service excellence to the most important client of the university, the student, who has to receive a timely, accurate and flawless

service, because anything other than excellent service amounts to a costly mistake for both the student and the university. The following are the findings through the researcher's observations:

- **Poor work performance:** It is assumed that employees have a distinct intellectual makeup, capacity and sagacity, and therefore managers and supervisors ought to give themselves some time to study the natural strengths and weaknesses of their subordinates. Unisa proposes to foster a culture of performance excellence, accountability and a sense of responsibility on its employees, observing the day-to-day performance of such employees, in other words, provisions introduced in legislation on the functioning of individual performance assessment and management (Unisa Council, 2008:2). The employees further voiced that they need to be assisted to achieve their performance expectations through a process of monitoring and review, to improve and further develop performance (Van der Westhuizen, 2016:30). The managers and supervisors are the main role players in the quantitative analysis of regulations on performance assessment at Unisa. On the one hand, the university has a number of regulations that relate to work performance; the expected analysis is of importance because of the practical results of the application of assessments, (Schermerhorn et al., 2011:136). On the other hand, it is claimed that assessments with objective claims have less effect than the subjective impressions of a supervisor. It is to be noted that there is no element of assessment to match the performance with the university's "market behaviour", translated into performance indicators related to students, and not into administrative abstractions (Nel et al., 2005:489).
- **Performance assessment:** An observation was made, very early in the research, that the administrative departments' performance "*can make or break*" the institution, since these departments are responsible to work with students directly, according to the admission policy (Unisa Council, 2013:1). The respondents pointed out that the working environment is highly stressful, as well as psychologically draining because they are constantly dealing with a diverse student component, where every second student has different needs and/or expectations, tapping into the calibre of service they offer (see Figures 5.2 and 5.3). The problem of individual performance in an institution is that individual performance is linked to the performance of the institution as a whole. Evaluation and management of individual performance in the case of public organisations is all the more necessary, as the organisation's performance measurement is more difficult, fairly unique and with dramatic consequences in cases of unfavourable

results. For services offered by a university, assessment criteria applicable are continuity, consistency, and the conformity of the procedures used (Spence and Keeping, 2010:589). Having said that, there are content and process motivation theories which have been advanced to understand and enhance job performance. This is underscored by Arnolds and Boshoff (2015:53), who claim that the content theories reveal a hierarchy of needs, ranging from basic needs, physiological needs, and self-fulfilment needs. These needs are important to stabilise the employees or rather individuals in a working environment. This will provide an opportunity to make a good individual judgement during the performance assessment process, because it will not be fair to finalise a judgement using a general type of approach. There are many uncertainties that the managers face during this process, and these also contribute to managers displaying the inability or readiness to conduct performance appraisals. Moreover, appraisals or reviews should not be seen as a session where the staff members' wrongdoing are pointed out and the wisdom of the supervisor and/or manager is displayed.

- **Performance management:** the administrative staff's responses to the questionnaires showed the lack of knowledge and information as to what is expected and equal performance from their side as employees, and the know-how to communicate, monitor and manage these expectations by management. Nelson and Quick (2002:173) state that PM is the process of quantifying the efficiency and effectiveness of actions, in order to compare results against expectations, with the intent to motivate, guide and improve decision-making, which is the intention of the institution. Respondents revealed that at Unisa, practices related to human resources management with performance revealed that there is a need for clarification of performance expectations, agreement on resource requirements, regular feedback and assessment, focused training and development, early identification of performance problems, and appropriate recognition for performance excellence. The implemented IPMS does not clearly communicate all the aspects stated, even though Unisa Council (2008:3) reiterates that the IPMS is used primarily as a mechanism to translate the institutional objective measures and targets in Unisa's multi-year plans into performance expectations for individual employees and to assist employees in achieving these expectations through a process of continuous monitoring, review and improvement. The managers and supervisors find themselves

transgressing the policy, for the sake of compliance, and to avoid confrontation between them and the staff.

- **Performance management system:** Although the Unisa is very clear about why IPMS was implemented, there exists gaps between the institution, its management and its employees, in and around performance. The research shows that organisation(s) develop performance management systems for different reasons, but primarily the goals of these systems are related to the evaluation and development of staff (Nohria et al., 2001:74). This implies that employees are aware that revaluation goals for IPMS in the institutional environment include providing feedback to employees at all levels so they will know where they stand as far as targets and stipulated expectations are concerned, to warn employees about unsatisfactory performance and to develop goals for global performance management systems in the HRM, (Stroh, 2001:64). Therefore, the Unisa performance system is meant to help employees at all levels to improve their performance and develop their professional skills, diagnose individual and organisational problems, enhancing commitment to the organisation through discussions of career opportunities, action plans and needs for training and development, and developing valid bases for employment decisions involving pay, promotions, job assignments, retention and termination decisions, (Unisa Council, 2008:2). The assessment during performance reviews in the institution takes the form of a formal and periodic process and performance designed to control both subordinate and superior behaviour, while the process theories focus on the individual's behaviour.
- **Performance reward:** The implementation of IPMS requires knowledgeable staff on their job descriptions as well as the line managers to be practically trained to facilitate the process, observe, evaluate and study the work of employees, initiate crucial conversations and do problem-solving which will encourage initiative on continuous bases, stress and focus on outcomes, and not on needs, motivated by the outcome of how much an individual expects as a reward. It was revealed by the questionnaires and confirmed by the interviews that at Unisa there exists a general notion that performance is expected or done for remuneration purposes, i.e. "*performance pay*" associated with performance. The majority of respondents alluded to the fact that the employees have their eyes fixed on what they are going to receive as performance bonus (see Figure 5:21). Performance appraisals have nothing to do with service delivery, or staff

development or brand protection, but everything to do with remuneration, to the point that there exists internal competition among the administration staff, guided by assessments of individual performance, connected with the individual compliance mode (see Figures 5.2 to 5.5). This practice defies the objectives of IPMS, amongst others of promoting service excellence, as well as providing an environment conducive to performance (see Figure 5.4). Most of all it defeats the commitment of the university to the team approach and the creation of an enabling and empowering work environment. Instead, the institution becomes a money-making scheme rather than the organisation it was meant to be. It continues to be evident that the employees tend to perform in a manner where the performance will be followed by a definite outcome to the individual of a higher reward, which disregards obtaining skills, knowledge, experience and a satisfied client. By passing the rules and regulations cohered to accommodate and accept anything placed before them, as proof of performance during the assessment period, allows subordinates to obtain a mark that guarantees them a lucrative incentive “*performance bonus*”, compromising the engagement of employees and line managers and enhance the notion that performance appraisal is a money-making scheme rather than a performance-enhancing tool.

6.4 RECOMMEDATIONS

Although it became evident that PM is a very important process of HRM, in general, the existence of the PM implies an assessment of current or previous results or performance of the employee, team or the whole organisation. On such assessments institutions create their policies in areas related to HRM. The following are the recommendations and findings through the researcher’s eye and observations:

- **Poor work performance:** It is a known fact that employees of the university have a distinct intellectual makeup, capacity and sagacity, and therefore managers and supervisors ought to give themselves some time to study and do a SWOT analysis of their subordinates. This will afford them an opportunity to make a good individual judgement during the performance assessment process, and equip them in order to discontinue this generalised judgement approach on all because this is not a fair approach for assessments. Figure 5.11 shows the danger of working relations, therefore managers and supervisors are to build friendships with employees, to break the hostile, cold, unfriendly atmosphere that tends to prevail during assessments, often creating fear

or resentment in employees, resulting in the assessors not receiving a positive response and buy-in from the employees in time of need. Employees could also be used to train others, as this displays an element of trust in employees to train fellow employees. This is an exercise which displays trust and encourages good relationships amongst employees themselves and their superiors. Continuously encouraging and improving the self-image of employees, by instilling the confidence of being able to perform the set and stipulated duties, will enable some employees to display their ability at all times and managers will use it to get the desired performance, according to Stroh (2001:64-72).

- **Performance assessment:** Objectives should be to set standards that are measurable and attainable, because if a job cannot be measured then it cannot be managed. Assessment during performance reviews in the institution takes the form of a formal and periodic process and performance designed to control both subordinate and superior behaviour, therefore effective communication should be encouraged as it plays an important role in ensuring that there is a flow of information in and amongst the employees and line managers within the institution. The IPMS implementation strategy should allow employees the autonomy to plan their own work, and solve their own work problems in order to get their buy-in and commitment to the plans put in place to execute the work. A change in the dynamics of the workforce has to be recognised, for instance there should be a decline of union involvement in matters of performance assessments within Unisa, and this process should be allowed to be an operational process and not a labour negotiation matter. This research brought forth the need to outline the other reasons of work division, such as human nature and makeup. Work allocated should be according to suitability, taking into consideration the personnel's skills and knowledge; space and time are of importance in ensuring that work is done effectively and efficiently. The line manager's support is very important in trying to enhance the egotistical element of the subordinates. However, it is said that people cannot fully satisfy and deal with their egotistical elements or self-actualisation needs as this need is rarely met completely.
- **Performance management:** The negative attitude and lack of knowledge of conducting performance appraisal reviews could be addressed through introducing management discipline, where line managers are taught to identify and manage unsatisfactory

performance or destructive behaviour and thereby to institute appropriate corrective action by means of either counselling or coaching. Employee placement decisions could also assist appraisers to gain knowledge about the disciplines in which employees are qualified or interested in, and use such information to place employees in suitable positions. Workforce research should be considered as an exercise that makes use of information gained through appraisals and review processes to be used to examine or compare employees and/or their performance and use that information to revise policies for employee retention or skills development. The University should ensure that managers are enabled to conduct more effective and accurate performance appraisals and thereby enhance employee performance and development. The institution should reinforce the element of strengthening and developing staff, facilitating and forging working relations between the managers, supervisors and employees. It should furthermore influence decisions relating to performance bonuses, promotions and for incentives to praise high performers, which will motivate and encourage the non- and underperformers. There is a need to train the line managers on the implementation and performance management, because for both PGAD and DSAR departments it is evident that performance appraisal is fundamental, uncomfortable and an emotional process for supervisor/managers and administrative staff alike.

- **Performance management system:** The other aspect that has to be taken into consideration is the human makeup and the nature of different people within the workspace. Emphasis should be on the importance of structure and administration, focusing on the division of work at the institution and the reason to form it. This leaves an obligation on the part of management to warrant management and supervise the need of the staff to attain and sustain their self-actualised needs and goals within the departmental setup. It is an ongoing process, where the performance of individuals and/or teams is judged with an element of consistency. This research continued to reveal, amongst others, that staff is to be equipped with techniques, knowledge and skills to participate and agree to the performance appraisals process put in place. All what appears to be needed is for the evaluators, i.e. the supervisors and managers, to encourage staff on the jobs well done, pointing out particularly the day-to-day achievements. High performances can be achieved, particularly when staff members reciprocate and realise that the managers care about their interests and securities. A successful management of performance yields good results on personal and

organisational level. It is said that, rather than merely commanding and controlling subordinates, managers should assist them in reaching their full potential.

- **Performance reward:** Development in a working environment entails an integrated approach to human resource management, which includes job analysis, performance management, reward and promotion. PA as a developmental instrument facilitates activities through which employees are able to achieve personal development. Through PA activities, the strengths and weaknesses that are associated with performance in the workplace are identified, observed, appraised, recorded and developed, an effort that could enhance performance and performance reward probability. Line managers should ensure that employees feel cared for and that their insecurities and interests are taken care of, as they are then likely to reciprocate with high performance, exceptional performance, measurable, and befitting a reward. In addition to the IPMS Policy within Unisa, there is a remuneration policy in place to ensure that both the academics and administration staff's performance is managed and rewarded accordingly. Even though remuneration is an important motivation for employees, this should not mean service provision should be compromised. Unisa is still to structure a compensation strategy, i.e. cost control, external equity, internal equity, flexibility and simplicity, to encourage employees on the jobs well done, emphasising particularly the day-to-day achievements, thus coaching them to strive to being high performers. The institution should advocate the importance of job security and have performance attached to that, and not necessarily remuneration.

6.4 CONCLUSION

It also became evident during data collection that performance appraisals are a fundamentally uncomfortable and emotionally draining processes on the part of both line managers and employees, therefore the following could be considered to alleviate this challenge. Conduct a round-robin on the IPMS Policy, its implementation and execution; focus on improving employee performance and ultimately, the staff's and institution's performance. A change or a decline of union involvement in matters of performance assessments should be considered. Training of employees should focus on performance problems, and appropriate recognition for performance excellence leading to the institution's effectiveness and attaining the set goals should be developed. The institution owes itself to foster a culture of performance excellence,

accountability and stewardship consonant with Unisa's values, objectives, institutional operational plan, identity and culture.

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ANNEXURE A: ETHICAL CLEARANCE

Dear Prof Kahn

Ref #: PAM/2019/015 (Matjila)

The application for Ethics Clearance submitted on behalf of your student, Ms M L Matjila, for the study *'Implementation of the Integrated Performance Management System policy in the Directorate of Student Admissions and Registration and the Postgraduate Administration Department at the University of South Africa'*, refers.

Please be advised that the Committee needs to be informed in writing should any part of the research methodology as outlined in the ethics application change in any way or in case of adverse events attributable to participation in the study. Also, take careful note of the proviso attached to the approval, as set out in the certificate.

The Disclaimer attached:

"The student's application complies with ethical requirements. The output of the research is however, the student's own work and does not necessarily reflect the opinion of the University."

The Research Ethics Review Committee wishes you and your student all the best with this research undertaking.

Kind regards

Chairperson: Research Ethics Review Committee

Dr C Alers

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ANNEXURE B: QUESTIONNAIRE

Research title: Management of Performance Appraisal at Institutions of Higher Education: A case of the University of South Africa

1. This is a voluntary consent to take part in the survey with no personal gain from this exercise, and it is agreed that the response provided will be used for research purposes only.
2. You were invited and selected to participate in this study because, you are an administrative employee and as such exposed to the topic under study and may provide valuable insight.
3. You are kindly requested to answer the questions as honestly and completely as possible.
4. The questionnaire will take a maximum of 30 minutes to complete.
5. Participation is anonymous: You are not requested to disclose your identity. Your privacy will be respected.
6. No one will be able to connect you to the answers you give.
7. The information collected from you will be treated with strict confidentiality and used for research purposes only.
8. You have the right to withdraw your participation at any time, hence your participation is regarded as voluntarily.
9. You will not receive any payment or reward, financial or otherwise, and the study will not incur undue costs to you.
10. The survey data will be stored in a locked cupboard and the data stored in a computer will be protected by the use of a password.
11. The survey data will be destroyed when it is no longer of functional value (after five years).
12. A copy of the dissertation will be available in the library at the Muckleneuk Ridge Campus of the University of South Africa (Unisa), Pretoria.

Dear Participant,

INSTRUCTIONS TO COMPLETE THIS QUESTIONNAIRE

- Do not write your name, surname or any other personal details or numbers on this questionnaire.
- The questionnaire will not take longer than 20 minutes to complete.
- There is only 1 [one] answer per question.
- Please note that the information you provide in this section will remain confidential and will only be used for research purposes.

PLEASE TICK THE FOLLOWING BOX IF YOU CONSENT TO PARTICIPATE:

☐

I hereby consent and understand that my participation is voluntary and anonymous and that the information will be kept strictly confidential, and that I may withdraw at any stage without negative consequences.

SECTION A: BIOGRAPHICAL INFORMATION

(Indicate your choice at each of the statements listed below with an **X**)

1. Indicate your gender. 2. Indicate your years of service. 3. What is your age? 4. What is your highest qualification?

1	Male	
2	Female	

1	0-5	
2	6-10	
3	11-15	
4	16-20	
5	21+	

1	18-27	
2	28-40	
3	41-56	
4	57-70	

1	Doctorate	
2	Master's degree	
3	Honour's degree	
4	Postgraduate Diploma	
5	Bachelor's degree	
6	Diploma	
	Certificate	
7	Matric/Grade 12	

5. Your institution:

6. Your Rank:

SECTION B: THIS SECTION EXPLORES INDIVIDUAL VIEWS AND EXPERIENCES OF PERFORMANCE APPRAISAL

PLEASE CHOOSE AN APPROPRIATE ANSWER ON THE FOLLOWOING SCALE

1= Strongly disagree

2= Disagree

3= Uncertain

4= Agree

5= Strongly agree, AND PUT YOUR SCALE UNDER YOUR RESPONSE COLUMN

Number	Statement	Strongly Disagree	Disagree	Uncertain	Agree	Strongly Agree	Your response
1	IPMS outlines the expectations and performance standards.	1	2	3	4	5	
2	IPMS outlines the performance targets.	1	2	3	4	5	
3	Performance agreements are line with Job descriptions.	1	2	3	4	5	
4	IPMS supports key performance areas.	1	2	3	4	5	
5	IPMS measures are manageable.	1	2	3	4	5	
6	My manager and I have frank discussions during performance interview.	1	2	3	4	5	
7	I am content with my IPMS scores.	1	2	3	4	5	
8	My Manager supports me in achieving my KPAs.	1	2	3	4	5	
9	My manager and I agree on performance goals for the year.	1	2	3	4	5	
10	I enjoy the engagement and interaction during the performance interview.	1	2	3	4	5	

SECTION C: THIS SECTION FOCUS ON EXPERIENCE BETWEEN MANAGERS AND SUBORDINATES ON MANAGEMENT OF IPMS

PLEASE CHOOSE AN APPROPRIATE ANSWER ON THE FOLLOWING SCALE

1= Strongly disagree

2= Disagree

3= Uncertain

4= Agree

5= strongly agree, And PUT YOUR SCALE UNDER YOUR RESPONSE COLUMN

Number	Statement	Strongly Disagree	Disagree	Uncertain	Agree	Strongly Agree	Your response
1	Performance targets set in accordance with the performance agreements are implemented correctly	1	2	3	4	5	
2	My Manager has my best interest at heart when making decisions that affects my career	1	2	3	4	5	
3	My Manager encourages me to take responsibility for my training and development	1	2	3	4	5	
4	IPMS assist in identifying areas that need training or development	1	2	3	4	5	
5	My IPMS takes into consideration institutional and my personal goals	1	2	3	4	5	
6	The IPMS rating system relevant	1	2	3	4	5	
7	IPMS is in line expected set standard	1	2	3	4	5	
8	The management of performance has brought by the expected outcomes of the organization	1	2	3	4	5	
9	Management appraisal is influenced by the objectives of the management theory	1	2	3	4	5	
10	Performance indicators of performance have been associated, with financial gain	1	2	3	4	5	

ANNEXURE C: INTERVIEW QUESTIONS

Research title: Management of performance appraisal at institutions of higher education: a case of the University of South Africa.

1. This is a voluntary consent to take part in this interview with no personal gain from this exercise, and agreed that the response provided will be used for research purposes only.
2. You were selected and invited to participate in this study because, you are part of the first line management and exposed to the topic under study and may provide valuable insight.
3. You are kindly requested to answer the questions as honestly and completely as possible.
4. The interview will take a maximum of 30 minutes.
5. Participation is anonymous: You are not requested to disclose your identity. Your privacy will be respected.
6. No one will be able to connect you to the answers you give.
7. The information collected from you will be treated with strict confidentiality and used for research purposes only.
8. You have the right to withdraw your participation at any time, hence your participation is regarded as voluntarily.
9. You will not receive any payment or reward, financial or otherwise, and the study will not incur undue costs to you.
10. The interview data will be stored in a locked cupboard and the data stored in a computer will be protected by the use of a password.
11. The interview data will be destroyed when it is no longer of functional value (after five years).
12. A copy of the dissertation will be available in the library at the Muckleneuk Ridge Campus of the University of South Africa (Unisa), Pretoria.

SECTION A: BIOGRAPHICAL INFORMATION

1. State your gender?
2. State your race?
3. State your age?
4. State your Qualification?
5. State your years of Experience?

SECTION B: THIS SECTION EXPLORES YOUR VIEWS AND EXPERIENCES OF PERFORMANCE APPRAISAL

1. Do you understand how to implement the IPMS Policy?
2. Does IPMS measure the stipulated performance standards?
3. Is your performance measured in line with the institutional and your personal goals?
4. Are the IPMS ratings in line to assess performance?
5. Does performance management encourage performance?

SECTION C: THIS SECTION FOCUS ON KNOWLEDGE MANAGEMENT

1. What does IPM policy mean to you as a manager?
2. Are KPAs stipulated in the job descriptions aligned with the IPMS policy?
3. Does the IPMS Policy assist in managing performance?
4. Are the targets set measurable?
5. IPMS measure skills and competencies to do the job?